

*People*  
*Capability Maturity Model*

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## **The Defined Level — Maturity Level 3**

Process Areas at the Defined Level focus on establishing an organizational framework for developing the workforce. The organization identifies the knowledge, skills, and process abilities that underlie the workforce competencies needed to perform its business activities. The organization develops strategic plans for the workforce needed to accomplish current and future business objectives. Development opportunities are established for assisting individuals in improving their capability in these workforce competencies. Graduated career opportunities are developed around growth in one or more workforce competencies. The workforce practices implemented at Level 2 are adjusted to motivate and support development in the organization's workforce competencies. The process abilities defined for each workforce competency are used for tailoring defined processes and establishing roles that provide the next step in workgroup development. A participatory culture is established that enables the most effective use of the organization's talent for making decisions and executing work. The process areas at Maturity Level 3 include:

	<i><b>Process areas</b></i>
<b>Competency Analysis</b>	<b>245</b>
<b>Workforce Planning</b>	<b>267</b>
<b>Competency Development</b>	<b>291</b>
<b>Career Development</b>	<b>307</b>
<b>Competency-Based Practices</b>	<b>327</b>
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# Competency Analysis

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*A process area at Maturity Level 3: Defined*

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<b>Purpose</b>	<b>The purpose of Competency Analysis is to identify the knowledge, skills, and process abilities required to perform the organization's business activities so that they may be developed and used as a basis for workforce practices.</b>
<b>Description</b>	<p>Prahalad and Hamel [Prahalad 90] describe an organization's core competence as the combination of technology and production skills that create its products and services and provide its competitive advantage in the marketplace. Achieving and sustaining a core competence requires assembling a workforce comprised of people with different types of knowledge, skill, and abilities to follow processes. Each of these different sets of knowledge, skills, and process abilities constitute a workforce competency. The range of workforce competencies needed by an organization is determined by the range of business activities that collectively constitute or support the organization's core competencies.</p> <p>Competency Analysis begins by analyzing the organization's business activities to identify the workforce competencies required to perform them. These workforce competencies are each analyzed to identify their essential knowledge, skills, and process abilities. Workforce competency descriptions are periodically reassessed to ensure they remain current with the actual knowledge, skills, and process abilities required by the organization's business activities. The organization maintains a repository of these workforce competency descriptions. The work processes used by capable individuals in each workforce competency are defined and updated as necessary. Anticipated changes in products, services, processes, or technologies are analyzed to determine their implications for future workforce competency requirements.</p> <p>Competency information regarding an individual's capability in the workforce competencies relevant to their work or career is collected and maintained. From this competency information, resource profiles of the</p>

organization's level of capability in each of its workforce competencies can be determined. Competency information is updated as necessary to keep it current.

Workforce competency descriptions and information are used to guide strategic workforce planning, support development of the organization's workforce competencies, and enable the tailoring of workforce activities across the organization. Competency descriptions and information should be used at the unit level in performing the workforce activities described in the Staffing, Training and Development, Performance Management, Competency Development, Competency-Based Practices, and other process areas. Individuals should have access to workforce competency descriptions for planning their development and career activities.

## **Goals**

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| <b>Goal 1</b> | <b>The workforce competencies required to perform the organization's business activities are defined and updated.</b>        |
| <b>Goal 2</b> | <b>The work processes used within each workforce competency are established and maintained.</b>                              |
| <b>Goal 3</b> | <b>The organization tracks its capability in each of its workforce competencies.</b>   |
| <b>Goal 4</b> | <b>Competency Analysis practices are institutionalized to ensure they are performed as defined organizational processes.</b> |

## Commitment to Perform

### **Commitment 1      The organization establishes and maintains a documented policy for conducting its Competency Analysis activities.**

Issues typically addressed in the policy include:

1. Workforce competency analyses serve the business objectives and stated values of the organization.
2. The workforce competencies required to accomplish the organization's business objectives (including technical, managerial, and administrative work) are identified.
3. A list of the workforce competencies on which to base workforce activities is maintained and revised, as necessary.
4. Workforce competency analyses are conducted on a periodic and event-driven basis to maintain and update the workforce competency descriptions.
5. A repository of defined workforce competency descriptions and competency information is maintained.
6. Appropriate Competency Analysis procedures are defined, documented, and used.

The human resources function or other appropriate professionals should review all Competency Analysis procedures to ensure they:

- Are consistent with relevant laws, regulations, and organizational policies
- Respect the rights and dignity of individuals and groups

Competency Analysis procedures are established and maintained for:

- ☐ documenting and maintaining workforce competency descriptions,
- ☐ determining changes in workforce competency descriptions,
- ☐ controlling changes or updates to workforce competency descriptions,

- ☐ collecting and storing of competency information, and
- ☐ maintaining and using the workforce competency information repository, including who has access and for what purposes.

Refer to Practices 6, 7, and 8 of this process area for practices regarding the development and maintenance of the organization's workforce competency information repository.

7. Competency Analysis practices and activities comply with relevant laws, regulations, and organizational policies.

**Commitment 2**

**An organizational role(s) is assigned responsibility for coordinating Competency Analysis activities across the organization.**

Examples of individuals who might be assigned responsibility for coordinating workforce competency analysis activities include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Organizational competency definition or competency management group
- Committee of representatives from ownership teams for each workforce competency

## **Ability to Perform**

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### **Ability 1**

**A responsible individual(s) coordinates the Competency Analysis activities for defining, developing, and maintaining each workforce competency.**

Workforce competency analyses may involve individuals from numerous units across the organization. The individuals who conduct the initial analyses of a workforce competency may not be the same individuals who maintain the competency descriptions or coordinate development in the competency over time. Examples of individuals or groups that may be involved in defining and maintaining a workforce competency include the following:

- Human resources or other appropriate professionals
- An organizational competency definition or competency management group
- Process engineering groups focused in areas of workforce competency
- Responsible individuals housed within a functional unit devoted to a specific workforce competency (e.g., a center of excellence)
- A group of experienced, capable individuals within the competency who form a competency ownership team

### **Ability 2**

**Adequate resources are provided for performing Competency Analysis activities.**

1. Documentation of the organization's business activities and processes are made available for analysis.
2. Strategic and operational business objectives are made available for developing the strategic workforce plan.

3. Experienced individuals who have expertise in workforce competency analysis are made available.

Examples of individuals who can contribute to workforce competency analysis include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Members of quality or process improvement groups
- Managers
- Business strategists
- Instructional designers

4. Resources for supporting Competency Analysis activities are made available.

Examples of resources to support workforce competency analysis include the following:

- Task analysis tools
- Position analysis questionnaires
- Skills analysis inventories
- Process analysis instruments
- Data collection and analysis tools
- Knowledge acquisition or knowledge engineering tools

5. Funding to accomplish Competency Analysis activities is made available.

6. Time, resources, and access to staff for analyzing workforce competencies are made available.

**Ability 3**

**Individuals performing Competency Analysis activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.**



1. Individuals performing Competency Analysis activities receive preparation in relevant analysis methods and techniques needed to perform their responsibilities.
2. Individuals who participate in Competency Analysis activities are provided orientation to the purpose of and methods used in the Competency Analysis activities.

Examples of topics that might be included in the preparation of those involved in competency analysis techniques include the following:

- Workflow and task analysis
- Knowledge and skill analysis
- Behavioral analysis
- Knowledge engineering
- Process analysis and definition

#### Ability 4

#### **The practices and procedures for performing Competency Analysis are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.
2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.
3. The individual(s) assigned responsibility for coordinating Competency Analysis activities across the organization ensures that defined practices and procedures are:
  - ☐ maintained under version control,
  - ☐ disseminated through appropriate media,
  - ☐ interpreted appropriately for different situations, and
  - ☐ updated through orderly methods.
4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Competency Analysis practices are captured to support the future use and improvement of the organization's practices.

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## Practices Performed

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### Practice 1

**The workforce competencies required to perform the organization's business activities are identified.**

A *competency* is an underlying characteristic of an individual that is causally related to effective and/or superior performance, as determined by measurable, objective criteria, in a job or situation [adapted from Spencer 93, p. 9]. This concept of a competency of an individual is different from the concept of a core competency of an organization, as formulated by Prahalad and Hamel [Prahalad 90]. The People CMM refers to the concept of a competency at the individual level as a *workforce competency* possessed by the individual. This is similar to Athey and Orth's [Athey 99] description of a competency as a set of observable performance dimensions, including individual knowledge, skills, attitudes, and behaviors, as well as collective team, process, and organizational capabilities, that are linked to high performance, and provide the organization with sustainable competitive advantage.

A *workforce competency* represents the knowledge, skills, and process abilities needed within the workforce to perform the organization's business activities. A workforce competency can be stated at a very abstract level, such as a need for a workforce competency in software engineering or technical writing. Workforce competencies can also be decomposed to more granular abilities, such as competencies in designing avionics software, testing switching system software, or writing user manuals and training materials for reservation systems.

1. The business activities that implement the organization's mission and strategy are identified.
2. The workforce competencies the organization must develop and maintain to perform these business activities are identified.

**Practice 2**

**Each of the organization's workforce competencies is analyzed to identify the knowledge, skills, and process abilities that compose it.**

Competencies have often been treated as descriptions of effective behaviors performed as part of a job. Although these descriptions provided a starting point for discussing performance, they often did not include sufficient detail about the knowledge or specific skills an individual needed to match the behavioral descriptions in practice. The People CMM encourages analyzing the knowledge, skills, and process abilities comprising a workforce competency to the level of detail required for diagnosing development needs and appropriate activities. Thus, a workforce competency should describe its constituent knowledge, skills, and process abilities to a level sufficient for guiding development activities that enable capable performance of required job behaviors.

- *Knowledge* is the information and understanding that an individual must have to perform a task successfully.
- *Skills* are the behaviors that an individual must be able to perform in order to accomplish committed work. Skills may involve behaviors that directly accomplish the task or that provide the support of, or coordination with, others involved in accomplishing tasks.
- *Process abilities* are the capacity to perform individual skills in the specific sequencing or method used in the organization to coordinate activities among individuals or groups, and to adjust the performance of skills, as necessary, to maintain an orderly flow of work.

1. A plan is developed for analyzing workforce competencies that typically includes:
  - ☐ the competency analysis activities to be performed,
  - ☐ the schedule for competency analysis activities,
  - ☐ the individuals or groups responsible for competency analysis activities,
  - ☐ the resources and effort required, including access to the staff, and
  - ☐ the process for review and approval of the plan by all parties affected by competency analysis activities.

2. A method is selected for performing workforce competency analyses.

Examples of methods for workforce competency analysis include the following:

- Position analysis
- Critical incident interviews
- Behavioral event interviews
- Process analysis and engineering
- Task analysis
- Knowledge engineering
- Analysis of skill needs

3. The organization defines the level for decomposing the knowledge, skills, and process abilities underlying each of its workforce competencies.

The granularity, or level of detail, of descriptions may vary across workforce competencies. One approach is for the organization to maintain high-level descriptions of the knowledge, skills, and process abilities that are generic to a workforce competency across its many applications in the organization. Organizational components at lower levels may elaborate or tailor these generic descriptions for the specific knowledge, skills, and process abilities required to perform their committed work.

4. The knowledge, skills, and process abilities required to perform committed work are defined for each workforce competency.
5. Subject matter experts are involved in analyzing the knowledge, skills, and process abilities required to perform their committed work.
6. A description of the knowledge, skills, and process abilities is defined for each workforce competency using a representation and format that is appropriate for its intended use.
7. Descriptions of workforce competencies are used for guiding workforce practices at the organizational level and within units.

**Practice 3****Workforce competency descriptions are documented and maintained according to a documented procedure.**

1. Workforce competency descriptions are documented and maintained to provide descriptions of the knowledge, skills, and process abilities underlying each workforce competency.

Workforce competency descriptions vary widely based on the organization's philosophy about the most important contributors to individual performance. Many organizations have described competencies as sets of behavioral characteristics. Other organizations have focused on specific components of knowledge or elements of skill. Examples of information that may be incorporated into workforce competency descriptions include the following:

- Knowledge required to perform required tasks
- Skills required to perform required tasks
- Competency-based processes or workflows that an individual may be expected to perform
- Ability to perform skills within the processes or workflows defined by the organization for performing the work
- Behavioral characteristics of how skills and processes are performed
- Behavioral manifestations of an orientation toward the work, colleagues, or customers
- Personality characteristics that are conducive to successful performance
- Types or levels of knowledge, skills, and process abilities that would characterize different levels of capability in a workforce competency

Workforce competency descriptions may include descriptions of workflows or competency-based processes that competent individuals are expected to perform. However, these process descriptions are often described separately as organizational business processes or procedures. Refer to Practice 5 for information relating to establishing and maintaining competency-based processes.

2. Workforce competency descriptions are documented and maintained according to organization standards.

Organization standards are applied when documenting and maintaining workforce competency descriptions to ensure:

- Consistency among the workforce competency descriptions
- Suitability of the workforce competency descriptions for their intended use.

Examples of issues addressed by these organization standards typically include the following:

- Format and content of workforce competency descriptions
- Level of granularity needed to understand and describe the workforce competency
- Storage of workforce competency descriptions in an information base that is designed for use in supporting and performing workforce activities

3. Workforce competency descriptions are controlled and maintained under version control for use in supporting and performing workforce activities.
4. Workforce competency descriptions are made available to the workforce for use in:
  - ☐ designing or tailoring workforce practices,
  - ☐ performing workforce activities, or
  - ☐ planning individual development opportunities.

**Practice 4****Workforce competency descriptions are updated on a periodic and event-driven basis.**

1. Workforce competencies are periodically reanalyzed to determine if they continue to reflect the knowledge, skills, and process abilities necessary to perform the organization's business activities.

Each of the workforce competency descriptions is periodically evaluated to determine whether its level of detail is appropriate for its intended use. Workforce competency descriptions are as likely to be over-defined as they are to be under-defined. As workforce competency information begins to be collected and used, those providing and consuming this information are able to provide feedback on the appropriate granularity and structure for different workforce competency descriptions. This feedback may determine the need for, and provide insight for, adjusting organizational standards for workforce competency descriptions.

2. Changes in products, services, processes, or technology are analyzed as necessary to determine whether:
  - ☐ affected workforce competency descriptions need to be updated,
  - ☐ new workforce competencies need to be defined, or
  - ☐ obsolete workforce competencies need to be phased out.
3. Action is taken to update, add, or phase out affected workforce competency descriptions based on the results of periodic or event-driven reanalysis.

Typical changes to workforce competency descriptions may include the following:

- New knowledge and skills that must be developed or acquired
- Changes in existing knowledge and skills
- Knowledge and skills that are outdated or no longer needed

4. Organization standards for workforce competency descriptions are adjusted, as necessary.
5. Changes to workforce competency descriptions are incorporated according to a documented procedure and organization standards.
6. Changes to workforce competency descriptions are provided as input for developing strategic workforce plans and for planning workforce activities within units.

**Practice 5**

**The competency-based processes to be performed by capable individuals in each workforce competency are established and maintained.**

A *competency-based process* defines how individuals within a specific workforce competency apply their knowledge, perform their skills, and apply their process abilities within the context of an organization's defined work processes. Competency-based processes are documented, trained, performed, enforced, measured, and improved over time. Possessing a process ability indicates that an individual is able to perform the competency-based processes appropriate for someone at their level of development in the workforce competency. A process ability for a particular competency may represent only part of a defined organizational process, since other elements of the defined process may be performed by individuals with different workforce competencies. To define the process abilities incorporated in each workforce competency, the organization needs to have defined the competency-based processes that an individual in each workforce competency would be expected to perform in accomplishing their committed work.

Examples of competency-based processes include the following:

- The defined processes used by software developers for designing, developing, and testing a product
- The defined processes used by a sales group for managing a sales cycle with a prospective customer
- The defined processes used by an organization's financial group for gathering data, analyzing results, and preparing inputs for the quarterly financial report
- The processes used by a emergency medical team in handling specific forms of trauma



1. A capability is established for defining and maintaining the processes used within each workforce competency.

Examples of those capable of defining and maintaining competency-based processes include the following:

- A corporate group, such as a quality department
- A quality or process improvement group
- Responsible individual(s) housed within a functional unit devoted to a specific competency
- A group of subject matter experts within the competency who form a process or competency ownership team

2. Competency-based processes are documented and made available for guiding those developing or performing a workforce competency.

Defined, competency-based processes should:

- Be consistent with a standard for process representation
- Capture the best practices from the organization's current business activities related to the workforce competency
- Identify the behaviors expected of a capable individual
- Describe what should be done but not precisely how to do it
- Be tailorable for use under different conditions
- Clarify points of coordination among individuals or roles who must cooperate to accomplish committed work
- Be defined with the participation of capable individuals who are currently performing the processes
- Correct gaps or weaknesses in the processes currently in use
- Be managed and taught as a component of a workforce competency
- Be fit for use
- Be presented in a format that is easy to understand and use

3. Documented competency-based processes are updated on an event-driven basis to reflect:
  - ☐ changes in business operations, products, or services,
  - ☐ changes in other processes or development technologies,
  - ☐ lessons learned from the performance of competency-based processes, or
  - ☐ other process improvements.

**Practice 6**

**Information about the use of competency-based processes is captured and made available.**

Refer to Practice 8 of the Competency Development process area for practices regarding the capture and use of competency-based experiences and information within a competency community.

Examples of information that could be captured include the following:

- Quantitative data on the use of processes
- Quality records
- Documentation produced through performing the processes
- Guidelines for tailoring processes
- Lessons learned

1. Information collected on the performance of competency-based processes is maintained in a repository for future use.
2. Lessons learned are identified that improve competency-based processes for future use.
3. Information regarding the use and performance of competency-based processes is made available.

**Practice 7**

**Competency information regarding the capabilities of individuals in their workforce competencies is collected and maintained according to a documented procedure.**

*Competency information* typically describes an individual's level of capability in relation to the list of knowledge, skills, and process abilities contained in relevant workforce competency descriptions. Although competency information is typically collected at the individual level, it could be collected at other levels. For instance, competency information might be collected at the workgroup level if a particular workforce competency is a characteristic of a workgroup and would not exist as a competency of individuals acting alone.

1. This documented procedure typically specifies:
  - ☐ responsibilities for collecting and maintaining competency information,
  - ☐ what competency information is collected and maintained in the organization's workforce competency information repository,
  - ☐ how competency information is used,
  - ☐ how competency information is represented and presented,
  - ☐ how confidentiality is established and maintained for competency information,
  - ☐ what competency information is made available, if any,
  - ☐ who may have access to competency information and under what circumstances,
  - ☐ how competency information is controlled and updated,
  - ☐ how the completeness and accuracy of competency information is audited,
  - ☐ restrictions on the use of competency information, and
  - ☐ mechanisms by which individuals can review and correct their competency information.

2. Individuals participate in collecting and organizing their competency information according to the documented procedure.

Individuals may complete their own competency information alone or in cooperation with a responsible individual, such as a supervisor, mentor, or human resources representative. Relevant information is drawn from many sources and organized into the format used for describing competencies by the organization.

Example sources of information on an individual's level of capability in a workforce competency include the following:

- Training and other development records
- Mentoring or apprenticeship reports
- Performance management records
- Career planning information
- Management assessment of knowledge, skills, and process abilities
- Self-assessment of knowledge, skills, and process abilities
- Peer evaluations
- Process assessments
- Awards and achievements
- Professional accomplishments
- Assessment centers
- Information from the performance of business activities

3. The validity of an individual's competency information is established by the individual, as well as by a party responsible for verifying the accuracy of information being submitted to the organization's repository.
4. On a periodic or event-driven basis, individuals and other responsible parties review, update, and verify an individual's competency information.

**Practice 8****Current resource profiles for each of the organization's workforce competencies are determined.**

A *resource profile* for a workforce competency represents the number of individuals at each level of capability within the workforce competency. An example of progressive levels of capability within a workforce competency may include a beginner, a novice, a journeyman, a senior practitioner, and a master or expert.

1. Competency information is aggregated at the organizational level for each of the organization's workforce competencies.

Information to be aggregated includes measures defined in the Staffing, Training and Development, Performance Management, Competency Development, and Career Development process areas.

2. The organization uses aggregated competency information to develop a resource profile for each of the organization's workforce competencies.

Examples of capability information that might be included in a resource profile include the following:

- Number of individuals in each competency
- Number of individuals at each level of capability within each workforce competency
- Distribution of individuals at each graduated career level within each workforce competency
- Distribution of knowledge and skill within each workforce competency
- Number of individuals possessing specialized skills, such as experience with a specific programming languages, design methodologies, or specific applications or legacy systems, within each workforce competency
- Distribution of workforce competencies across units in the organization

3. Resource profiles are made available, as appropriate, for use in workforce planning, the analysis of workforce practices, and other workforce activities.

**Practice 9**

**Competency information is updated on a periodic and event-driven basis.**

1. Competency information for an individual (or other unit of analysis) may be updated as accomplishments, experience, or events justify.
2. Competency information for affected individuals should be updated as appropriate when workforce competency descriptions are modified, added, or phased out.
3. The state of the organization's competency information is periodically audited to ensure that it is maintained with appropriate currency.

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## **Measurement and Analysis**

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**Measurement 1**

**Measurements are made and used to determine the status and performance of Competency Analysis activities within each unit and across the organization.**

Examples of measurements include the following:

- Amount of time or number of people involved in analyzing workforce competencies or in collecting competency information
- Number of workforce competencies defined
- Effectiveness of meeting milestones in analyzing workforce competencies or collecting competency information
- Amount of competency information collected
- Period between updates of workforce competency analyses or competency information
- Extent to which competency information is used in designing or tailoring workforce practices and performing workforce activities

**Measurement 2**      **Measurements are made and used to determine the quality of workforce competency descriptions and competency information.**

Examples of measurements of the quality of workforce competency descriptions or of competency information include the following:

- Level of detail to which workforce competency descriptions are defined
- Frequency and range of uses of workforce competency descriptions and competency information
- Usability of workforce competency descriptions or competency information
- Number of revisions made to workforce competency descriptions
- Number of corrections made to competency information

## **Verifying Implementation**

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**Verification 1**      **A responsible individual(s) verifies that Competency Analysis activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Competency Analysis activities comply with the organization's policies and stated values.
2. All actions related to the development of workforce competency descriptions and the use of competency information are periodically reviewed to ensure that they conform to documented policies.
3. Competency Analysis activities comply with relevant laws and regulations.
4. Competency Analysis activities are performed according to the organization's documented practices and procedures.

5. Noncompliance items are handled appropriately.
6. Workforce competency descriptions and competency information are consistent with existing and anticipated organizational conditions and needs.

**Verification 2      Executive management periodically reviews the Competency Analysis activities, status, and results; and resolves issues.**

These reviews verify:

1. The appropriateness of workforce competency analysis activities and competency information.
2. Progress in performing Competency Analysis activities.
3. Results from reviews of Competency Analysis practices and activities.

Refer to Verification 1 for practices regarding reviews of Competency Analysis activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.
5. Trends related to competency analysis.
6. Effectiveness of Competency Analysis activities in supporting workforce activities.

**Verification 3      The definition and use of competency descriptions and competency information are periodically audited for compliance with organizational policies.**



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# Workforce Planning

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*A process area at Maturity Level 3: Defined*

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<b>Purpose</b>	<b>The purpose of Workforce Planning is to coordinate workforce activities with current and future business needs at both the organizational and unit levels.</b>
<b>Description</b>	<p>Workforce Planning ties the organization's workforce activities directly to its business strategy and objectives. Through workforce planning, the organization identifies the workforce it needs for its current and future business activities and plans the actions to be taken to ensure the required workforce is available when needed. The People CMM does not make an assumption that the organization must meet all of its workforce needs from within. Workforce planning could include partnerships, alliances, acquisitions, independent contracting, and other means for ensuring that the required components of workforce competencies are provided in support of business plans and objectives. Strategic workforce plans provide those responsible for workforce activities in units with a reference for ensuring that they perform their responsibilities with an understanding of how the unit's workforce activities contribute to the business.</p> <p>The workforce planning process begins by identifying the current and future workforce competency needs of the organization. These needs are assessed from anticipated future developments in the business and its products, services, markets, technologies, and business processes. The organization identifies those workforce competencies where action is needed to meet these needs. A competency develop plan is created for each workforce competency identified as needing action by the organization. A strategic workforce plan is created by integrating these competency development plans and determining the organization's actions to provide the needed competencies over time. The strategic workforce plan sets long-term objectives for workforce activities at the organizational and unit levels. Performance against these plans is periodically checked and reported at the appropriate level.</p>

As part of planning their workforce activities, units set specific objectives for contributing to the organization's strategic workforce objectives while meeting the current needs of the unit. Succession plans are developed for each critical position in the organization to ensure a continuous supply of qualified position candidates.

## **Goals**

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| <b>Goal 1</b> | <b>Measurable objectives for capability in each of the organization's workforce competencies are defined.</b>               |
| <b>Goal 2</b> | <b>The organization plans for the workforce competencies needed to perform its current and future business activities.</b>  |
| <b>Goal 3</b> | <b>Units perform workforce activities to satisfy current and strategic competency needs.</b>                                |
| <b>Goal 4</b> | <b>Workforce Planning practices are institutionalized to ensure they are performed as defined organizational processes.</b> |

## **Commitment to Perform**

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| <b>Commitment 1</b> | <b>The organization establishes and maintains a documented policy for conducting its Workforce Planning activities.</b> |
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Issues typically addressed in the policy include:

1. Workforce planning serves the business objectives and stated values of the organization.

2. Units contribute to satisfying the strategic competency needs of the organization.
3. The organization's workforce competency needs can be traced to the requirements of its current and anticipated products, services, and other business activities.
4. Responsibilities involved in workforce planning are defined and assigned.
5. Appropriate procedures are defined, documented, and used for:
  - ☐ developing and updating the strategic workforce plan at an appropriate frequency,
  - ☐ creating and updating competency development plans for workforce competencies at an appropriate frequency,
  - ☐ planning workforce activities within each unit,
  - ☐ reviewing and approving workforce plans,
  - ☐ basing all relevant workforce activities on workforce plans,
  - ☐ correcting and amending workforce plans,
  - ☐ reviewing the compliance of workforce activities with workforce plans,
  - ☐ documenting workforce planning processes and results, and
  - ☐ communicating workforce plans throughout the organization.
6. Workforce Planning practices and activities comply with relevant laws, regulations, and organizational policies.

**Commitment 2**

**An organizational role(s) is assigned responsibility for coordinating Workforce Planning activities across the organization.**

Examples of individuals who might be assigned responsibility for coordinating Workforce Planning activities include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Organizational competency definition or competency management group
- Committee of representatives from ownership teams for each workforce competency

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## **Ability to Perform**

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**Ability 1**                      **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Workforce Planning activities are performed.**

**Ability 2**                      **A responsible individual(s) coordinates the Workforce Planning activities for each workforce competency.**

Workforce Planning activities in each workforce competency focus on establishing and maintaining competency development plans. Examples of individuals or groups that may be involved in defining and maintaining the competency development plan for a workforce competency may include the following:

- Human resources or other appropriate professionals
- An organizational competency definition or competency management group
- Process engineering groups focused in areas of workforce competency
- Responsible individual(s) housed within a functional unit devoted to a specific workforce competency (e.g., a center of excellence)
- A group of experienced, capable individuals within the competency who form a competency ownership team

**Ability 3**                      **Adequate resources are provided for performing Workforce Planning activities.**

1. Strategic and operational business objectives and plans are made available for developing workforce plans.
2. The organization's workforce competencies are identified.

Refer to the Competency Analysis process area for information regarding developing and maintaining descriptions of workforce competencies.

3. Individuals with expertise in workforce planning and competency development are available for developing workforce plans.

Examples of individuals with expertise in workforce planning and competency development include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Strategic planners
- Subject matter or domain experts
- Product or technology planning staff
- Executive management

4. Resources for supporting Workforce Planning activities are made available.

Examples of resources to support Workforce Planning activities include the following:

- Planning tools
- Spreadsheets
- Effort estimating tools
- Labor pool analyses and forecasts
- Competency analysis tools
- Other workforce analysis and planning tools

5. Workforce plans are made available to those responsible for planning each unit's workforce activities.
6. Funding to accomplish Workforce Planning activities is made available.
7. Time for Workforce Planning activities is made available.

**Ability 4**                      **Individuals performing Workforce Planning activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.**

Examples of appropriate guidance or training that may be provided as part of this preparation may include the following:

- Appropriate strategic assignments
- Training in long-range workforce planning
- Training in analyzing competency needs
- Training in planning unit workforce activities
- Training in planning competence development activities

**Ability 5**                      **The practices and procedures for performing Workforce Planning are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.
2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.
3. The individual(s) assigned responsibility for coordinating Workforce Planning activities across the organization ensures that defined practices and procedures are:
  - ☐ maintained under version control,
  - ☐ disseminated through appropriate media,
  - ☐ interpreted appropriately for different situations, and
  - ☐ updated through orderly methods.
4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Workforce Planning practices are captured to support the future use and improvement of the organization's practices.

## Practices Performed

### Practice 1

**The current and strategic workforce needs of the organization are documented.**

1. The organization's current workforce needs are documented from inputs provided by each unit that identify:
  - ☐ the number of people required to accomplish the unit's committed work compared to the number available,
  - ☐ the unit's current staffing plan or objectives,
  - ☐ the workforce competencies needed to conduct the business activities constituting these commitments compared to the unit's current capability in these workforce competencies, and
  - ☐ the unit's anticipated future commitments that have current staffing implications.
2. The strategic workforce needs of the organization are documented from inputs that anticipate the organization's future business activities.

Examples of relevant inputs concerning strategic workforce needs include the following:

- The organization's business strategies, objectives, or plans
- The organization's product and service capabilities
- The organization's competency descriptions
- Anticipated product development or service delivery technologies
- Anticipated work processes and environments
- Anticipated markets and revenues
- Data from benchmarking activities
- Anticipated changes in laws, regulations, and organizational policies

Examples of people with knowledge of the organization's future business needs include the following:

- Executive and line managers
- Experienced individuals
- Technologists
- Strategic planners
- Marketing specialists
- Human resources professionals
- Customer representatives
- External consultants

3. The organization's current capability in each workforce competency is compared to its current and strategic workforce needs to determine staffing and development requirements necessary to satisfy these current and strategic needs.

Refer to Practice 8 of the Competency Analysis process area for information regarding evaluating the organization's capability in each of its workforce competencies.

The organization's strategic workforce needs cannot be developed in a strictly top-down or bottom-up fashion. Although the organization should aggregate the anticipated competency needs of its units, significant changes in the processes or technologies used to perform work can result in units being created, eliminated, or radically reorganized. Therefore, strategic workforce planning must consist of more than a simple aggregation of each unit's needs.

4. The organization selects, from the organization's current and anticipated workforce competencies, those workforce competencies that require action be taken to meet identified staffing and development requirements.
5. The organization documents the list of selected workforce competencies requiring competency development activities in its strategic workforce plan.



**Practice 2**

**Measurable objectives are established for developing the organization's capability in each of its selected workforce competencies.**

Examples of measurable objectives for capability in each of the organization's workforce competencies include the following:

- The level of knowledge, skill, and process ability available in each of the organization's workforce competencies
- The rate at which knowledge, skill, and process ability are acquired in each of the organization's workforce competencies
- The deployment of workforce competencies across the organization
- The rate at which individuals develop knowledge, skill, and process ability in multiple workforce competencies
- The rate at which new workforce competencies can be developed and deployed across the organization

Measurable objectives for developing capability in each of the organization's workforce competencies are:

1. Derived from the strategic and operational business objectives and plans.
2. Aggregated at the organizational level into organizational objectives.
3. Reviewed and approved by the appropriate level of management.
4. Included in the appropriate competency development plans.
5. Reviewed periodically and revised, as necessary.

**Practice 3****A competency development plan is produced for each of the organization's selected workforce competencies.**

Competency development plans can either be produced as separately documented plans for each workforce competency, or they can be integrated together in the organization's strategic workforce plan. In either case, the plan for each competency should be prepared by individuals with appropriate expertise in both the subject domain of the competency and the workforce activities required to develop it. Competency development plans may also be produced for workforce competencies the organization does not currently possess, but anticipates needing in the future.

1. Competency development plans for each of the organization's selected workforce competencies are developed according to a documented procedure that specifies:
  - ☐ the schedule for producing and updating the plan,
  - ☐ responsibilities for contributing to or producing the plan,
  - ☐ processes to be used in producing and approving the plan, and
  - ☐ the information to be included in the plan.
2. The competency development plan for each selected workforce competency is based on:
  - ☐ the competency development requirements established by comparing the organization's current level of capability in the competency with the capability needed to accomplish its currently committed work,
  - ☐ the strategic needs for this competency based on anticipated future business activities, and
  - ☐ the organization's established competency development activities.
3. The competency development plan for each selected workforce competency includes:
  - ☐ measurable objectives for developing capability in the workforce competency,
  - ☐ the number of people anticipated or required with the needed competency over the period covered by the plan,

- ☐ how the number of people with the competency will be developed or staffed,

Examples of mechanisms through which people with a workforce competency can be developed or staffed include the following:

- Hiring individuals with the competency
- Acquiring an external organization with the competency
- Developing the competency through training
- Motivating the competency through career development and competency-based practices
- Bringing in consultants
- Hiring contractors with the competency
- Outsourcing the work to other firms with the competency

- ☐ the internal workforce activities needed to develop the competency,
- ☐ the competency development time typically required for individuals to achieve the required level of capability in the workforce competency,

The amount of competency development time needed may vary across different workforce competencies, based on the knowledge, skills, and process abilities required by the workforce competency and each individual's level of capability.

- ☐ the resources to perform the workforce activities needed for developing and maintaining the competency,
  - ☐ how the competency will be maintained or enhanced over time, and
  - ☐ the rate of change in the knowledge, skills, and process abilities composing this competency needed to support the organization's anticipated business activities.
4. The competency development plan for each selected workforce competency undergoes review by all affected parties.

Examples of parties affected by the development plan for a workforce competency include the following:

- Those responsible for coordinating workforce activities across the organization
- Those responsible for performing and reporting workforce activities, especially those related to competency development
- Those responsible for units or workgroups

5. The organization's competency development plans are incorporated into the organization's strategic workforce plan and provide input to planned workforce activities by units.

**Practice 4****Competency development plans are reviewed and revised on a periodic and event-driven basis.**

1. Competency development plans are periodically reviewed and revised with a frequency that matches:
  - ☐ anticipated rate of significant changes in the knowledge, skills, and process abilities composing the competency,
  - ☐ appropriate opportunities to assess progress in competency development and take corrective actions, or
  - ☐ the need to review and revise the organization's strategic workforce plan.
2. Competency development plans are reviewed and revised on an event-driven basis when:
  - ☐ rapid changes in business, technology, or other relevant conditions require changes in knowledge, skills, or process abilities composing the competency,
  - ☐ changes in committed work or other business activities substantially change the staffing requirements for the competency, or
  - ☐ competency development activities are failing to achieve their intended results.
3. Competency development plans are revised according to documented procedures.

**Practice 5****The organization establishes and maintains a strategic workforce plan to guide its workforce practices and activities.**

1. The strategic workforce plan is developed using a documented procedure that specifies the:
  - ☐ schedule for performing Workforce Planning activities,
  - ☐ schedule for periodically reviewing and revising the strategic workforce plan,
  - ☐ individuals or groups responsible for different strategic Workforce Planning activities,
  - ☐ resources required for the Workforce Planning activities, and
  - ☐ the process for reviewing and approving Workforce Planning activities by all affected parties and by executive management.
2. The strategic workforce plan integrates the competency development plans for each of the organization's selected workforce competencies.
3. The strategic workforce plan documents the organization's decisions regarding the mechanisms through which workforce competencies will be developed or provided.

Examples of mechanisms for developing or providing workforce competencies include the following:

- Developing specialists within the competency
- Providing minimal training to all individuals to achieve a base-level competency
- Retraining individuals or groups whose competencies may become obsolete or oversupplied
- Offering growth through graduated career opportunities
- Providing cross-training for selected individuals
- Training selected groups within units
- Adjusting the compensation strategy to motivate development of needed competencies

4. The strategic workforce plan provides long-term requirements for growth or shrinkage in various workforce competencies and for guiding the development of competency-based practices.

5. The strategic workforce plan provides guidance for planning unit workforce activities.

6. The strategic workforce plan includes descriptions of anticipated organizational changes required to attract, develop, motivate, and retain the workforce required to execute its future business.

Examples of organizational changes include adjustments or modifications to the following:

- Workforce practices
- Working conditions or arrangements
- Learning technologies
- Structure of the organization
- Technologies through which work is performed
- Location of the work

7. The strategic workforce plan includes a risk assessment of the organization's ability to attract, recruit, and retain the workforce that will be needed for conducting its future business.
8. The strategic workforce plan is reviewed and revised periodically to reflect changes in the business.

The strategic workforce plan is intended to provide a relatively stable set of workforce objectives for the organization to pursue. Revisions to the plan most likely occur as revisions to competency development plans are made. Revisions to the strategic workforce plan typically only occur in the presence of changes in business conditions or technologies. Under such circumstances, the organization might be better served by redeveloping the plan rather than by merely revising it.

9. The strategic workforce plan provides input to the organization's business plan and strategy concerning the availability of the workforce needed to perform planned or anticipated business activities.

**Practice 6****Units plan workforce activities to satisfy current and strategic competency needs.**

A unit's workforce activities may be planned at a single time and documented in a single planning document. However, different types of workforce activities within a unit may be planned at different times and be documented in different ways. Some unit-level activities may be documented in plans that are aggregated at higher organizational levels or have been decomposed to actions at lower organizational levels. Plans for different workforce activities may vary in their level of formality, detail, or format. The purpose of planning is to make units proactive in performing activities that provide for their competency needs and provide the documented information needed for strategic workforce planning and tracking at higher levels.

1. Each unit defines and documents performance objectives for:
  - ☐ developing the workforce competencies needed to perform its business activities,
  - ☐ contributing to the strategic competency development objectives of the organization, and
  - ☐ performing planned workforce activities that support these competence development objectives.

Relevant portions of the unit's performance objectives for developing workforce competencies may be included in the individual performance objectives of those responsible for performing the unit's workforce activities. The unit's performance objectives for developing competencies are reflected in the individual development plans of those whose competencies are to be developed.



2. Units plan their workforce activities to satisfy:
  - ☐ the current competency needs of the unit, and
  - ☐ their performance objectives relative to the organization's strategic workforce plan.

Examples of objectives for units planning their workforce activities include the following:

- Determining unit staffing, training, and other needs for workforce activities
- Aggregating planned workforce activities of the unit into the workforce plans of higher level units
- Contributing to the organization's understanding and planning of its overall requirements for staffing, training, and other workforce activities
- Implementing workforce activities that contribute to the strategic workforce objectives of the organization

3. Units plan their workforce activities with guidance from the organization that indicates:
  - ☐ schedules and events relevant to the unit's workforce activities,
  - ☐ resources available to assist in planning or performing the unit's workforce activities,
  - ☐ inputs from the organization's strategic workforce plan or other relevant sources,
  - ☐ information needed by the organization concerning the unit's workforce needs and activities, and
  - ☐ how planning information is to be represented and communicated.
4. Each unit's workforce activities are planned by those accountable for workforce activities within the unit, in collaboration with those responsible for coordinating unit plans with plans or activities at higher organizational levels.
5. Units identify and document their workforce requirements (e.g., staffing levels, competency needs, training requirements, etc.) for the next planning period.

6. Units identify and document unit- and organizational-level activities required to support their current and future workforce needs.

These activities include all workforce responsibilities initiated in the process areas at the Managed Level, in addition to new responsibilities developed in process areas at the Defined Level. Examples of unit-level workforce activities include the following:

- Staffing anticipated open positions
- Performance management activities
- Activities for increasing the unit's workforce competencies, in addition to any training required for performing the specific assignments made in executing the unit's business activities
- Training to be delivered
- Career development activities
- Administering compensation
- Administering recognition and rewards
- Improving the work environment
- Developing workgroups

Examples of organization-level activities that support unit workforce activities include the following:

- Performing organizational recruiting activities
- Organizing training delivery
- Developing career opportunities
- Preparing compensation and reward plans
- Making improvements to the work environment
- Other needed workforce activities

7. Units identify, assess, and document the risks associated with the unit's workforce activities.
8. Plans for each unit's workforce activities and related planning data are documented and maintained.

**Practice 7****Units review and revise plans for workforce activities on a periodic and event-driven basis.**

1. Plans for a unit's workforce activities are periodically reviewed and revised with a frequency that matches:
  - ☐ the schedule for establishing work commitments and performance objectives,
  - ☐ appropriate opportunities to assess progress in planned unit workforce activities, or
  - ☐ the need to review and revise the organization's strategic workforce plan.
2. Plans for workforce activities within a unit are reviewed and revised on an event-driven basis when:
  - ☐ rapid changes in committed work, technology, or other relevant conditions require changes in competencies or workforce activities,
  - ☐ changes in committed work or other business activities substantially change staffing requirements, or
  - ☐ planned workforce activities are failing to achieve their intended results.
3. Where appropriate, units revise their plans for workforce activities according to documented procedures.

**Practice 8****The organization develops succession plans for its critical positions.**

*Succession plans* are developed for critical positions within the organization to ensure that qualified individuals with the required knowledge, skills, and process abilities are always available to perform the position's responsibilities.

*Critical positions* are those positions that, because of the organization's interest in the performance of these positions, it plans for the development and career activities required to provide qualified candidates for filling them. Critical positions include more than just executive and other senior management positions. Certain technical, operational, or business positions may be designated as critical positions because of the difficulty in finding or developing individuals with the knowledge, skills, and process abilities to successfully perform in these positions.

Characteristics of critical positions include the following:

- Has responsibilities that are critical to business success
- Exercises influence, control, or direction over the performance of many other individuals, workgroups, or units
- Requires levels of knowledge, skills, or process abilities that are not readily available or easily obtained in the labor market
- Requires levels of knowledge, skills, or process abilities that are not easily developed by most individuals in relevant workforce competencies
- May require specialized experiences as a component of preparation for the critical position

1. Critical positions are identified.
2. Critical position profiles are developed that provide a description of each position, the competencies required to perform its responsibilities, and critical success factors.
3. A candidate pool for each critical position is developed.
4. For individuals identified through candidate pools, staffing, performance management, training, career development, and similar development activities are based, in part, on succession planning objectives.
5. The progress made by candidates in developing the workforce competencies required for critical positions is tracked.

**Practice 9**

**The organization's performance in meeting the objectives of its strategic workforce plan is tracked.**

1. Progress in meeting the objectives of the strategic workforce plan is reviewed periodically with executive management.

2. If results deviate significantly from the objectives documented in the strategic workforce plan, corrective action is taken.

Examples of corrective action include the following:

- Taking specific actions to bring results into compliance with the objectives of the strategic workforce plan
- Reviewing unit workforce plans to ensure they support strategic objectives and revising them when necessary
- Revising workforce objectives or tactics

## Practice 10

### **Progress in meeting the objectives of the competency development plan for each of the organization's workforce competencies is tracked.**

1. For each workforce competency, an individual or group is assigned responsibility for tracking performance against its competency development plan.
2. If results deviate significantly from the competency development plan for a specific workforce competency, corrective action is taken.

Examples of corrective action include the following:

- Taking specific actions to bring results into compliance with the objectives of the competency development plan
- Reviewing results against unit plans or personal development plans to determine if they need to be addressed in growing the competency
- Reviewing competency development capabilities to determine if there are issues of capacity, timeliness, or effectiveness that need to be addressed
- Revising competency development plans

3. Progress against competency plans is reviewed on a periodic basis with executive management.

**Practice 11****Each unit's performance in conducting its planned workforce activities is tracked.**

1. Each unit periodically reviews its status in performing planned workforce activities.
2. The progress of each unit in executing its planned workforce activities is periodically reviewed at the organizational level.
3. Corrective actions are taken when results deviate significantly from a unit's objectives in performing its planned workforce activities.

Examples of corrective action include the following:

- Taking specific actions to bring results into compliance with the unit's workforce needs and objectives
- Reviewing a unit's planned workforce activities against current unit performance and the organization's strategic workforce plan to determine if revisions are necessary

4. Progress in meeting each unit's objectives in its development plan is periodically reviewed with those responsible for higher level units and those responsible for workforce activities.

## Measurement and Analysis

**Measurement 1**      **Measurements are made and used to determine the status and performance of Workforce Planning activities.**

Examples of measurements include the following:

- Time spent in organizational and unit-level workforce planning
- Number of people involved in Workforce Planning activities
- Effectiveness of meeting milestones in workforce planning
- Effectiveness of achieving the objectives of the strategic workforce plan
- Effectiveness of in performing workforce activities at the organizational and unit levels
- Number of revisions made to workforce plans
- Length of time between workforce planning cycles

**Measurement 2**      **Unit measures of workforce planning are collected and aggregated at the organizational level.**

1. A historical database of workforce planning data is maintained.
2. Workforce planning data are periodically analyzed to determine trends.

## Verifying Implementation

**Verification 1**      **A responsible individual(s) verifies that Workforce Planning activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Workforce Planning activities comply with the organization's policies and stated values.
2. Workforce Planning activities comply with relevant laws and regulations.
3. Workforce Planning activities are performed according to the organization's documented practices and procedures.
4. Noncompliance issues are handled appropriately.
5. Workforce plans are kept current and reflect existing and anticipated organizational conditions and needs.

**Verification 2**

**Executive management periodically reviews the Workforce Planning activities, status, and results; and resolves issues.**

These reviews verify:

1. The appropriateness of Workforce Planning activities.
2. The appropriateness of unit planning activities.
3. Progress in performing Workforce Planning activities.
4. Results from reviews of workforce plans against the organization's stated values and appropriate policies.
5. Results from reviews of Workforce Planning practices and activities.

Refer to Verification 1 for information regarding reviews of Workforce Planning activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

6. Status of resolution of noncompliance issues.
7. Trends in the results of planned workforce activities compared to strategic workforce objectives.
8. Effectiveness of Workforce Planning activities in achieving documented plans.





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# Competency Development

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*A process area at Maturity Level 3: Defined*

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**Purpose**                      **The purpose of Competency Development is to constantly enhance the capability of the workforce to perform their assigned tasks and responsibilities.**

**Description**              The workforce competencies identified in Competency Analysis and the needs identified in Workforce Planning provide the foundations for the organization's competency development program. Development activities are designed to raise the level of knowledge, skill, and process ability in the organization's current and anticipated workforce competencies.

The organization maintains standards for the quality of the training and development activities offered to its workforce. Graduated training and development opportunities are designed to support development in each of the organization's workforce competencies. The organization ensures that information concerning competencies and development opportunities are available to the workforce. Each individual sets objectives for development in one or more of the workforce competencies of the organization and identifies development opportunities to support them. Individuals actively pursue competency development opportunities that support their development objectives.

The organization uses the experience accumulated in its workforce as an asset for developing additional capability in each of its workforce competencies. Experienced individuals are used as mentors for other individuals or teams. Mechanisms are established to support communication among the members of a competency community. A *competency community* is composed of the individuals who share and practice a workforce competency (based on the concept of communities of practice [Wenger 00, Wenger 98, Brown 00]). Data and other information that emerges from the performance of a competency is captured and made available for use by other members of the competency community.

## **Goals**

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|---------------|--|
| <b>Goal 1</b> | <b>The organization provides opportunities for individuals to develop their capabilities in its workforce competencies.</b>      |
| <b>Goal 2</b> | <b>Individuals develop their knowledge, skills, and process abilities in the organization's workforce competencies.</b>          |
| <b>Goal 3</b> | <b>The organization uses the capabilities of its workforce as resources for developing the workforce competencies of others.</b> |
| <b>Goal 4</b> | <b>Competency Development practices are institutionalized to ensure they are performed as defined organizational processes.</b>  |

## **Commitment to Perform**

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|---------------------|--|
| <b>Commitment 1</b> | <b>The organization establishes and maintains a documented policy for conducting its Competency Development activities to develop the workforce competencies required to perform its business processes.</b> |
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Issues typically addressed in the policy include:

1. Competency Development activities serve the business objectives and stated values of the organization.
2. Activities to increase the workforce competencies of the organization supplement activities to increase the knowledge, skills, and process abilities required to perform work in each unit.
3. The organization continuously develops the knowledge, skills, and process competencies in each of its workforce competencies.

4. The organization ensures that effective methods for developing and maintaining workforce competencies are provided and used.
5. The organization uses its existing base of knowledge, skills, and process abilities to support competency development activities.
6. Progress in developing workforce competencies is tracked for:
  - ☐ all individuals,
  - ☐ each unit, and
  - ☐ the organization.
7. Competency Development practices and activities comply with relevant laws, regulations, and organizational policies.

Human resources or other appropriate professionals are consulted to ensure that Competency Development activities comply with all relevant laws, regulations, and organizational policies.

**Commitment 2      An organizational role(s) is assigned responsibility for coordinating Competency Development activities across the organization.**

Examples of individuals who might be assigned responsibility for coordinating Competency Development activities include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Organizational competency management group
- Committee of representatives from ownership teams for each workforce competency

## **Ability to Perform**

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**Ability 1**                      **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Competency Development activities are performed.**

**Ability 2**                      **A responsible individual(s) coordinates the Competency Development activities for each workforce competency.**

For each workforce competency, an individual or group takes responsibility for defining a development program. The development program could be defined by a corporate group such as human resources or training, a human resources function within the organization, by a competency ownership group composed of experts in the competency, or by a group composed of representatives both from a corporate group and experts in the competency.

**Ability 3**                      **Adequate resources are provided for performing the planned organization-wide and unit-specific Competency Development activities.**

1. The organization's workforce competencies are defined.

Refer to Practices 2 and 3 of the Competency Analysis process area for a description of the practices that produce descriptions of the process abilities of each of the organization's workforce competencies.

2. Workforce competency descriptions and competency-based processes are available for use in Competency Development activities.

Refer to Practices 2, 3, and 5 of the Competency Analysis process area regarding practices that produce descriptions of the organization's workforce competencies and competency-based processes.

3. Experienced individuals who have expertise in developing specific competencies (i.e., specific knowledge, skills, or process abilities) are made available for assisting in the development of workforce competencies.
4. Resources for supporting Competency Development activities are made available.

Examples of resources to support Competency Development include the following:

- Training and tutorial materials
- Self-study guides
- Training facilities
- Process descriptions and support material
- On-the-job training aids
- Descriptions of available training opportunities
- Repositories for competency-based experiences and information

5. Funding to accomplish Competency Development activities is made available.
6. The organization's strategic workforce plan allocates a recommended amount of time for individuals to participate in competency development activities.

Refer to Practices 3 and 5 of the Workforce Planning process area for information regarding planning competency development activities.

7. Each unit's workforce planning allocates a portion of each individual's time for participation in competency development activities.

Refer to Practice 3 of the Training and Development process area, Practice 6 of the Workforce Planning process area, and Practice 5 of the Career Development process area for information regarding planning Competency Development activities.

**Ability 4**

**Individuals performing Competency Development activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.**

1. Individuals assigned responsibility for counseling others on training and professional development have received orientation in the opportunities provided for developing workforce competencies.
2. Individuals who provide training, mentoring, or other services for developing workforce competencies have received adequate professional training in the competencies that they are responsible for developing.

**Ability 5**

**Individuals who participate in Competency Development activities receive appropriate orientation in Competency Development practices.**

1. Individuals receive orientation to the graduated training and development activities and learning opportunities relevant to their workforce competencies.

Examples of means for providing this orientation include the following:

- Orientation sessions for individuals participating within a competency community
- Learning maps that describe the graduated training and development opportunities available in a workforce competency
- Mentoring

2. Individuals participating within a competency community receive orientation to the purpose, membership, and mechanisms for exchange within the competency community.

A *competency community* consists of those members of a workforce who share the common knowledge, skills, and process abilities of a particular workforce competency.

**Ability 6**

**The practices and procedures for performing Competency Development are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.
2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.





3. The individual(s) assigned responsibility for coordinating Competency Development activities across the organization ensures that defined practices and procedures are:
  - ☐ maintained under version control,
  - ☐ disseminated through appropriate media,
  - ☐ interpreted appropriately for different situations, and
  - ☐ updated through orderly methods.
4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Competency Development practices are captured to support the future use and improvement of the organization's practices.

## Practices Performed

### Practice 1

**Competency development activities are based on the competency development plans within each workforce competency.**

Refer to Practices 2, 3, 4, 5, and 10 of the Workforce Planning process area for information regarding developing, updating, and tracking competency development plans. Refer also to Practice 6 of the Workforce Planning process area for information regarding each unit's planned workforce activities to satisfy its current and strategic competency needs.

1. Competency development activities are selected and based on their support for the organization's:
  - ☐ competency development plans, and
  - ☐ objectives for developing capability in the workforce competency.
2. Competency development activities are prioritized to align with:
  - ☐ the organization's measurable objectives for developing capability in each of its workforce competencies,
  - ☐ the competency development plan for each of the organization's workforce competencies, and

- ☐ cost, schedule, and other business considerations.

3. The relationship between each Competency development activity and the organization's competency development plans and objectives for developing capability in the workforce competencies is documented and communicated.

**Practice 2****Graduated training and development activities are established and maintained for developing capability in each of the organization's workforce competencies.**

1. Graduated training and development activities for developing capability in each of the organization's workforce competencies are identified.

Examples of Competency Development activities include the following:

- Formal classroom training
- Courses of study at educational institutions
- Degree programs
- Licensing or certification programs
- Guided self-study
- Apprenticeship or mentoring
- Just-in-time training
- Workgroup (or team) training and development activities
- Knowledge repositories and tools
- Career development planning

2. The organization establishes standards for the learning activities included in the training and development of its workforce competencies.
3. All courses, learning materials, and other development activities and artifacts are qualified against the organization's standards before being offered to the workforce.
4. Learning activities are periodically reviewed to:
  - ☐ ensure their compliance with established standards,
  - ☐ identify revisions that are needed in the standards, and
  - ☐ ensure effectiveness in developing workforce competencies.

5. Resources for delivering the training and development activities are identified and made available.
6. The training and development program is updated as changes are made to profiles of the organization's workforce competencies.
7. The graduated training and development activities in each workforce competency are communicated to those responsible for career counseling.
8. Training and development records are maintained at the organizational level.

Refer to Practice 8 of the Competency Analysis process area for information regarding maintaining organizational competency information.

**Practice 3**

**The organization makes available descriptions of workforce competencies and information about development opportunities related to them.**

Examples of vehicles for making competency descriptions and information about development opportunities available to those interested in developing additional capability in a competency include the following:

- Career counseling or performance management sessions
- Bulletin boards
- Information repositories open to members of the workforce
- Training and development documents and brochures
- Web pages on an intranet

**Practice 4**

**Competency-based training and development activities are identified for each individual to support their development objectives.**

1. A responsible individual(s) helps each individual identify competency-based training and development needs and ensures that appropriate competency development activities are identified, planned, and performed.

Personal development plans or career development activities, described in the Career Development process area, may not affect some individuals (e.g., part-time employees or contractors). However, these individuals may need to perform competency-based processes to accomplish their committed work.

Affected individuals create and maintain a personal development plan. Refer to Practice 5 of the Career Development process area for information regarding developing and maintaining each individual's personal development plan.

2. A responsible person counsels individuals, as needed, about available training and development in relevant workforce competencies and how development in different competencies affects career directions.

Development in workforce competencies may be oriented toward improved capability in an individual's current assignment, as well as toward developing capability in related competencies.

3. A waiver procedure is established and used to determine when individuals already possess the knowledge, skills, and process abilities composing one or more of the organization's workforce competencies.
4. Wherever possible, assignments are identified to provide individuals with experience in using the competencies they are developing.

**Practice 5****Individuals actively pursue learning opportunities to enhance their capabilities in the organization's workforce competencies.**

The organization fosters an environment that empowers individuals to pursue development in relevant workforce competencies. Refer to the Training and Development and Career Development process areas for practices regarding each individual's role in their personal development.

1. Individuals are encouraged to take initiative in pursuing competency development opportunities.
2. Competency development activities are performed on a timely basis to support personal development objectives.

3. Individuals ensure their competency information is updated when competency development activities are completed.

Refer to Practice 7 of the Competency Analysis process area for information regarding updating individual's competency information.

## Practice 6

### Capable individuals within a competency community are used to mentor those with less capability in the competency.

*Mentoring* refers to a process of transferring the lessons of greater experience in a workforce competency to improve the capability of other individuals or workgroups. Mentoring should only be considered for workforce competencies in which less-capable individuals could benefit from the guidance and experience of more-capable individuals. Mentoring activities may be targeted to specific individuals, such as those new to the organization or novices in a workforce competency. In many cases at the Defined Level, participation in mentoring activities may be voluntary.

1. Within each appropriate workforce competency, mentoring is made available.

Examples of objectives for mentoring include the following:

- Orientation and adjustment to the organization
- Development of specific knowledge and skills
- Learning how to perform processes within the organization
- Development of workforce competencies
- Preparation of specific management or executive skills
- One-on-one personal attention
- Improved group effectiveness
- Workgroup development
- Career advice and development
- Counseling and advice concerning problems

2. Individuals willing to act as mentors are prepared to perform their responsibilities.

- ☐ Experienced and capable individuals are invited to volunteer to perform mentoring activities.
  - ☐ Candidate mentors are evaluated to ensure they have the required personal skills and capability in relevant workforce competencies to perform mentoring activities effectively.
  - ☐ Mentors receive training or orientation in mentoring skills.
3. Mentors and those being mentored establish arrangements for conducting their mentoring relationship.
  4. Mentors provide timely feedback and guidance to those they mentor.

Examples of issues that might be addressed when providing feedback and guidance during mentoring include the following:

- Evaluation of work performance
- Use of time and setting priorities
- Interpersonal style and skills
- Decision making
- Knowledge, skills, or process abilities needing development
- Barriers to job performance or career growth
- Understanding the organization

**Practice 7**

**The organization supports communication among those comprising a competency community.**

The members of a workforce that share the common knowledge, skills, and process abilities of a particular workforce competency constitute a *competency community*. Much competency development occurs through information exchanges among those within a competency community. When fostered, these “communities of practice” [Wenger 00, Wenger 98, Brown 00] can function as self-organizing mechanisms for sharing competency-based information and learning among members of a competency community. This form of competency development supplements other competency development activities performed in the organization.

Examples of mechanisms for supporting communication within a competency community include the following:

- Periodic meetings
- Informal discussions
- Professional activities
- Social gatherings
- Peer group reviews, boards, and similar activities
- Periodic newsletters or bulletins
- Updated technical, process, or business documentation
- Electronic bulletin boards, web pages, and other forms of computer-mediated communication and networking
- Information repositories

## Practice 8

**Competency-based experience and information is captured and made available to those within a competency community.**

1. Those within a competency community identify the data, experience, and other forms of competency-related information that represent effective sources of learning for other members of the competency community.
2. Those within a competency community capture data and other forms of information that can become a source of learning for others in the competency.
3. Competency-based data and information are stored in appropriate repositories.
4. Responsible individuals periodically update and maintain the information repositories used within a competency community.

## **Measurement and Analysis**

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**Measurement 1**      **Measurements are made and used to determine the status and performance of Competency Development activities within each unit and across the organization.**

Examples of measurements include the following:

- Amount of time spent in developing the knowledge, skills, and process abilities underlying the organization's workforce competencies
- Number of people and amount of effort involved in developing or delivering Competency Development activities
- Amount of effort to define and document competency-based processes
- Amount and types of communication within a competency community
- Amount of effort spent on capturing and documenting competency-based information
- Amount of process or competency-based experience and information available in repositories
- Rate of progress in competency development activities



**Measurement 2**      **Measurements are made and used to determine the quality of Competency Development activities.**

Examples of measurements of the quality of Competency Development activities include the following:

- Individual ratings of the effectiveness of each competency development method
- Level of knowledge, skill, or process ability developed in each workforce competency through different development methods
- Performance-based evidence of increases in knowledge, skills, or process abilities in each workforce competency
- Results of certification programs, where appropriate
- Rate at which individuals requests access to different training programs or methods

## **Verifying Implementation**

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**Verification 1**      **A responsible individual(s) verifies that Competency Development activities are conducted according to the organization’s documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Competency Development activities comply with the organization’s policies and stated values.
2. Competency Development practices and activities comply with relevant laws and regulations.
3. Competency Development activities are performed according to the organization’s documented practices and procedures.

4. Noncompliance issues are handled appropriately.
5. Competency development methods and materials are consistent with the existing and anticipated conditions and needs of the organization.

**Verification 2      Executive management periodically reviews the Competency Development activities, status, and results; and resolves issues.**

These reviews verify:

1. Appropriateness of Competency Development activities at the organizational and unit levels.
2. Progress in performing Competency Development activities.
3. Results from reviews of Competency Development practices and activities.

Refer to Verification 1 for information regarding reviews of Competency Development activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.
5. Trends related to competency development.
6. Effectiveness of Competency Development activities in achieving planned objectives in the organization's workforce competencies.

**Verification 3      The definition and use of data on competency development are periodically audited for compliance with organizational policies.**

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# Career Development

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*A process area at Maturity Level 3: Defined*

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**Purpose**                      **The purpose of Career Development is to ensure that individuals are provided opportunities to develop workforce competencies that enable them to achieve career objectives.**

**Description**              Career Development activities are designed to help individuals see the organization as a vehicle for achieving their career aspirations. The organization creates mechanisms through which individuals can increase their capability in their chosen workforce competency as well as their value to the organization. The organization's Career Development policy identifies the jobs, positions or competencies for which Career Development activities are appropriate.

Graduated career opportunities and promotion criteria are defined to motivate growth in the organization's workforce competencies. Graduated career opportunities represent an arrangement of positions or work responsibilities that require increasing levels of capability in one or more workforce competencies. Promotions are made periodically, based on defined criteria. Graduated career opportunities are periodically evaluated to determine if they need to be updated.

Individuals in competency communities affected by career development activities periodically evaluate their capability relative to the knowledge, skills, and process abilities defined for their workforce competency. Individuals in these identified categories create and periodically update personal development plans. Progress against these plans is tracked and development opportunities are identified. Opportunities for training and other career-enhancing activities are made available. Individuals are encouraged to take an active role in defining and developing their competencies and career opportunities.

Individuals are periodically counseled about career options, and opportunities for advancement are communicated to them. An effort is

made to match work assignments with career objectives. Individuals are encouraged to take initiative in pursuing career opportunities. The organization evaluates how well progress in meeting personal development plans is providing the skills that the organization anticipates it will need in the future.

## **Goals**

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|---------------|---|
| <b>Goal 1</b> | <b>The organization offers career opportunities that provide growth in its workforce competencies.</b>  |
| <b>Goal 2</b> | <b>Individuals pursue career opportunities that increase the value of their knowledge, skills, and process abilities to the organization.</b> |
| <b>Goal 3</b> | <b>Career Development practices are institutionalized to ensure they are performed as defined organizational processes.</b>                   |

## **Commitment to Perform**

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| <b>Commitment 1</b> | <b>The organization establishes and maintains a documented policy for conducting its Career Development activities.</b> |
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Issues typically addressed by the policy include:

1. Career Development activities serve the business objectives and stated values of the organization.
2. Graduated career opportunities are designed to provide growth in the workforce competencies of the organization.

3. Job types, positions, or competencies in the organization affected by Career Development practices are defined.

Not all individuals may be affected by the organization's Career Development practices. The use of the term "affected" implies that an activity is conducted only with those individuals in positions or job types who are covered in the organization's Career Development policy. Examples of individuals who might not be covered by the Career Development policy include the following:

- Part-time or temporary workers
- Contractors
- Certain positions or job types identified by the organization
- Individuals on performance improvement plans
- Individuals affected by impending separation or retirement from the organization

4. Documented procedures are developed to guide Career Development activities. These procedures typically specify:
- ☐ methods for identifying career options within the organization,
  - ☐ procedures for discussing career options with each individual, and
  - ☐ frequency of discussing career options with individuals.
5. Career Development practices and activities comply with relevant laws, regulations, and organizational policies.

**Commitment 2      An organizational role(s) is assigned responsibility for coordinating Career Development activities across the organization.**

Examples of individuals who might be assigned responsibility for coordinating Career Development activities include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Organizational competency management group
- Committee of representatives from ownership teams for each workforce competency

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## **Ability to Perform**

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### **Ability 1**

**Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate, as appropriate, in Career Development activities.**

Examples of individuals who might be assigned responsibility for various Career Development activities within a unit include the following:

- The unit manager or other designated individual
- A project or workgroup leader
- A mentor or coach
- A competency manager
- A career counselor
- An advisory group within a competency area
- An empowered workgroup
- A member of the training staff
- A member of the human resources function or other appropriate professionals

### **Ability 2**

**A responsible individual(s) coordinates the Career Development activities for each workforce competency.**

Examples of individuals or groups that may be involved in coordinating Career Development activities in a workforce competency include the following:

- Human resources or other appropriate professionals
- An organizational competency management group
- Responsible individuals housed within a functional unit devoted to a specific workforce competency (e.g., a center of excellence)
- A group of experienced, capable individuals within the competency who form a competency ownership team

**Ability 3****Adequate resources are provided for implementing Career Development activities.**

1. When feasible, experienced individual(s) with expertise in supporting Career Development activities are made available.

Examples of contributions that can be made by those with special skills in Career Development activities could include the following:

- Designing graduated career opportunities
- Developing career choice guidelines
- Assessing development and career interests
- Providing information about career opportunities and growth within the organization
- Updating descriptions of graduated career opportunities to reflect changes in workforce competencies or advances in work processes, products, or technologies

2. Resources for supporting Career Development activities are made available.

Examples of resources to support Career Development include the following:

- Guidelines on career choices in the organization
- Graduated career opportunity descriptions
- Career interest inventories and scales
- Other assessment techniques and materials

3. Support for implementing Career Development activities is made available.

Examples of implementation support include the following:

- Maintaining career development records
- Maintaining graduated career paths
- Maintaining listings of open positions

4. Funding to accomplish Career Development activities is made available.

5. Adequate time is made available for participating in Career Development activities.

**Ability 4**

**Individuals responsible for Career Development activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.**

1. Those responsible for designing graduated career opportunities, developing promotion criteria, or performing career assessments have received the professional training necessary to perform their responsibilities.
2. Those responsible for Career Development activities within a unit have appropriate training in the organization's graduated career opportunities in competencies relevant to the unit's workforce.
3. Those responsible for providing career advice receive preparation in:
  - ☐ assessing career interests and capabilities,
  - ☐ providing career guidance,
  - ☐ interpreting career guidance provided from other sources, and
  - ☐ interviewing, listening, and advising skills.

**Ability 5**

**Individuals who participate in Career Development activities receive appropriate orientation in career development opportunities and activities.**



Examples of information that might be addressed in career development orientation include the following:

- Topics related to the strategic workforce plan regarding the future requirements of the organization
- Competency development planning information
- Graduated career opportunities and promotion criteria
- Evaluating personal capabilities in workforce competencies
- Setting career objectives
- Establishing and maintaining personal development plans
- Guidance on selecting learning and development opportunities
- How the individual can master new skills to grow in their competencies.

## Ability 6

**The practices and procedures for performing Career Development are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.
2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.
3. The individual(s) assigned responsibility for Career Development activities across the organization ensures that defined practices and procedures are:
  - ☐ maintained under version control,
  - ☐ disseminated through appropriate media,
  - ☐ interpreted appropriately for different situations, and
  - ☐ updated through orderly methods.
4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Career Development practices are captured to support the future use and improvement of the organization's practices.

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## Practices Performed

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### Practice 1

**The organization defines graduated career opportunities to support growth in the workforce competencies required to perform its business activities.**

*Graduated career opportunities* represent an arrangement of positions or work responsibilities that require increasing levels of capability in one or more workforce competencies. Graduated career opportunities include not only upward promotion opportunities within the organization such as career ladders or paths, but also career lattices that provide broadening or lateral assignments to gain experience or increase the individual's capabilities in additional workforce competencies. Such opportunities may be in other units or in assignments to other organizations either in or allied with the company. An organization may have many combinations of graduated career opportunities.

An example of a set of graduated career opportunities that involve both technical and management growth in software engineering might include a progression such as the following:

- Support programmer
- Software engineer
- Senior software engineer
- Software team leader or project manager
- Software system architect or program manager
- Senior consulting software engineer or division manager
- Fellow or vice president
- Chief scientist or executive vice president

1. The organization specifies the purposes to be achieved through establishing sets of graduated career opportunities.

Examples of purposes for graduated career opportunities include the following:

- Motivating individuals to develop the competencies required to execute the organization's current and future business activities
- Ensuring growth in the organization's workforce competencies
- Rewarding individuals for growth in workforce competencies
- Enabling individuals to expand their ability to serve the organization when their performance and capability justify greater responsibility or influence
- Deploying competent individuals or teams most effectively throughout the organization
- Preparing succession for positions requiring greater competency or experience
- Ensuring careers are aligned with business strategy and direction
- Steadily improving the organization's performance

2. Graduated career opportunities are designed to support business strategies or needs.

Examples of business strategies or needs that may influence the definition of career opportunities include the following:

- Current and future products and services
- Standard business processes and methods
- Organizational structure and architecture
- Corporate culture and climate
- Availability of individuals with knowledge and skills in the organization's workforce competencies
- Nature of the customer and business environment
- Workforce competencies of the competition
- Professional practices within specific knowledge and skills areas

3. Several choices of graduated career opportunities are made available for career planning.

Examples of choices among career opportunities may include the following:

- Technical
- Administrative
- Managerial
- Sales and marketing
- A mixture of assignments across or within several career areas

4. Criteria for advancing through graduated career opportunities are documented and communicated to the workforce.

Examples of criteria for advancement through graduated career opportunities include the following:

- Knowledge, skills, and process abilities required at each graduated level
- Demonstrated performance or accomplishments required for each graduated level
- Potential to perform responsibilities successfully at each graduated level
- Characteristic working styles required at each graduated level
- Demonstrated impact on the group, unit, or organization required for each graduated level
- Potential for developing additional knowledge and skills that are required for advancement to each graduated level
- Potential to affect others through performance of responsibilities at each graduated level

## **Practice 2**

**Career promotions are made in each area of graduated career opportunities based on documented criteria and procedures.**

Documented promotion criteria and procedures for considering the promotion of qualified individuals are defined for each workforce competency, cluster of competencies, or other career area where graduated career opportunities have been defined. These promotional criteria and procedures may differ across workforce competencies or areas of career opportunity.

The promotion procedures typically specify:

1. The bases (i.e., frequency or other criteria) for initiating promotion activities within the area.
2. How individuals may apply or be nominated for promotion consideration.
3. How criteria for promotion are developed, approved, and communicated.
4. How and by whom nominated candidates are to be evaluated.

5. How and by whom promotion decisions are made and approved.
6. Which other workforce activities or practices are activated by the promotion decisions.
7. How appeals to promotional decisions can be made and how appeals are handled.
8. How often promotional criteria and procedures are evaluated for improvements.

**Practice 3****Graduated career opportunities and promotion criteria are periodically reviewed and updated.**

1. Graduated career opportunities and their associated promotion criteria are periodically reviewed to ensure they are aligned with the definition of workforce competencies, the business strategy of the organization, and other relevant considerations.
2. Additions, deletions, or changes in workforce competencies are analyzed as necessary to determine whether:
  - ☐ affected graduated career opportunities and promotion criteria should be updated,
  - ☐ new graduated career opportunities and promotion criteria should be defined, or
  - ☐ obsolete career opportunities should be phased out or eliminated.
3. Action is taken to update, add, or phase out graduated career opportunities or promotion criteria based on the results of periodic or event-driven reanalysis.
4. Changes to graduated career opportunities are implemented and maintained under version control.
5. Changes in graduated career opportunities or promotion criteria are communicated to the workforce.

**Practice 4**

**Affected individuals periodically evaluate their capabilities in the workforce competencies relevant to their career objectives.**

Examples of methods for getting periodic feedback on their capabilities in workforce competencies include the following:

- Formal or informal performance feedback
- Self-assessment materials or guides
- Evaluation at the end of learning opportunities
- Assessment centers
- Reviews by peer or promotion panels
- Standardized tests or evaluation techniques
- Professional licensure or certification evaluations
- Feedback from mentors or coaches

1. Opportunities are available to individuals for determining their capabilities in relevant workforce competencies.
2. In some instances, the organization may require an evaluation of an individual's competencies for promotion or assignment to specific positions.
3. Evaluations of an individual's capabilities on relevant workforce competencies are used as input for creating personal development plans and identifying relevant career options.
4. Individuals are made aware of any competency information that will be entered into promotion or staffing decisions.

**Practice 5**

**Affected individuals create and maintain a personal development plan to guide their training and career options.**

Examples of information presented in a personal development plan include the following:

- Career objectives
- Career paths, assignments, or experiences to achieve those objectives
- Knowledge, skills, and process abilities identified in Performance Management activities to enhance performance in the current assignment
- Competencies and other capabilities needed to progress toward the career objectives
- Potential next assignments
- Competencies required for potential next assignments
- Plans for developing the competencies required for potential next assignments
- Other development activities, such as professional growth

1. The personal development plan is created jointly between an individual and the person responsible for their career guidance.
2. Career development objectives are based on the graduated career opportunities defined for the organization.
3. The personal development plan identifies training and other development activities needed to accomplish the career objectives of the individual.



4. Opportunities for personal development are identified and encouraged.

Examples of opportunities to support personal development include the following:

- Training
- Activities to build new competencies
- Certification or licensure
- Temporary assignments
- Involvement with task forces or committees
- Work assignments that would support the individual's development needs
- Other development activities, such as mentoring

5. The personal development plan is updated periodically as changes occur in:
- ☐ the individual's career objectives,
  - ☐ the organization's business strategy or activities,
  - ☐ the definition of the organization's workforce competencies,
  - ☐ the knowledge, skills, and process abilities needed for potential future assignments, or
  - ☐ the career options available.
6. The personal development plan for some individuals may be based, in part, on succession planning objectives identified in succession planning activities.

Refer to Practice 8 of the Workforce Planning process area for information regarding succession planning.

## Practice 6

**Career options and development in the organization's workforce competencies are discussed with affected individuals on a periodic or event-driven basis.**

1. Affected individuals are made aware of the organization's graduated career development opportunities and relevant aspects of the organization's strategic workforce plan and associated competency development plans.

2. Affected individuals are counseled on how to prepare for the opportunities they wish to pursue.
3. Affected individuals periodically discuss career opportunities with those responsible for providing them with career advice.

Examples of topics for career discussions may include the following:

- Advice and discussion to help develop career objectives
- Assessment of individual capabilities relevant to career objectives
- The creation or updating of a personal development plan
- Individual performance against personal development plans
- The initiation, adjustment, or termination of career development activities

4. Those responsible for Career Development activities continually identify opportunities to increase the workforce competencies and other knowledge, skills, or other process abilities relevant to the career objectives of the individuals they advise.
5. Progress against personal development plans and the impact and results of development activities are discussed with affected individuals.
6. Alignment of personal development plans with the organization's strategic workforce plans and competency development plans are discussed with affected individuals.

### **Practice 7**

**Affected individuals pursue training and development opportunities that enhance their career options and capabilities in the organization's workforce competencies.**

1. Affected individuals are encouraged to accept responsibility for developing their capabilities and careers. They should take an active role in:
  - ☐ accomplishing the objectives set in their personal development plans,
  - ☐ identifying opportunities for development experiences, and
  - ☐ pursuing external activities or training that enhances their knowledge, skills, and process abilities.
2. Development opportunities are performed as planned in personal development plans.

3. Assignments outside of normal work responsibilities that support an affected individual's development needs are provided, as appropriate.

Examples of assignments outside of normal work responsibilities that may support the individual's development needs include the following:

- Special tasks and temporary responsibilities
- Task forces or committees
- Problem resolution teams
- Time to pursue special interests or skills
- Process or quality improvement activities
- Professional activities

## Practice 8

### **Individual development activities are tracked against personal development plans.**

1. Those responsible for career discussions periodically review individual performance against personal development plans with each individual.
2. Progress against the personal development plan is discussed during periodic performance management, development, or career discussion sessions.
3. The impact and results of development opportunities completed are discussed to see if adjustments to individual development objectives need to be made.
4. When progress deviates significantly from the personal development plan, potential corrective actions are evaluated.

Examples of corrective actions include the following:

- Revising the schedule of planned development activities
- Changing the development activities
- Revising the career objectives or individual development objectives
- Ensuring that development time is built into the individual's schedule

5. Individuals ensure that organizational competency records concerning their knowledge, skills, and process abilities are updated whenever they have completed significant development events or experiences.

Refer to Practices 6, 7 and 8 of the Competency Analysis process area for information regarding the development of the organization's workforce competency information repository.

## **Measurement and Analysis**

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### **Measurement 1**

**Measurements are made and used to determine the status and performance of Career Development activities within each unit.**

Examples of measurements include the following:

- Time and resources spent in defining and updating graduated career opportunities
- Staff effort spent in career development activities
- Frequency and timeliness of career discussions
- Amount of training identified in development plans
- Number of career development plans documented
- Progress against personal development plans
- Number of applications for promotion or candidates considered for promotion
- Resources and effort spent on promotions
- Timeliness of promotion actions
- Number of promotions and rejections, and rationale
- Percent of workforce undergoing promotion consideration
- Rate of providing career development training

**Measurement 2**      **Unit measures of Career Development status are collected and aggregated at the organizational level.**

1. A historical database of Career Development data is maintained.
2. Career Development data are periodically analyzed to determine trends.

**Measurement 3**      **Measurements are made and used to determine the effectiveness of Career Development activities.**

Examples of measures of the effectiveness of Career Development activities include the following:

- Ability to attract or retain people in a workforce competency
- Number of people at different graduated career levels compared to organizational needs
- Rate at which people are progressing through graduated career levels
- Capability and demonstrated performance of people at different graduated career levels

## **Verifying Implementation**

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**Verification 1**      **A responsible individual(s) verifies that Career Development activities are conducted according to the organization's documented policies, practices, and procedures; and addresses noncompliance.**

These reviews verify that:

1. Career Development activities comply with the organization's policies and stated values.
2. Career Development activities comply with relevant laws and regulations.

3. Career Development activities are performed according to the organization's documented practices and procedures.
4. Career Development activities are performed according to the unit's plans and selected methods.
5. Noncompliance issues are handled appropriately.

**Verification 2**

**Executive management periodically reviews the Career Development activities, status, and results; and resolves issues.**

These reviews verify:

1. Progress in career development across the workforce against the business needs of the organization.
2. Progress in performing Career Development activities.
3. Results from reviews of Career Development practices and activities.

Refer to Verification 1 for information regarding reviews of Career Development activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.
5. Trends related to career options and growth.
6. Effectiveness of Career Development activities in achieving planned results.



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# Competency-Based Practices

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## *A process area at Maturity Level 3: Defined*

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**Purpose**                      **The purpose of Competency-Based Practices is to ensure that all workforce practices are based in part on developing the competencies of the workforce.**

**Description**              The practices established through performing the activities of process areas at the Managed Level need to be adjusted to support the organization's focus on developing workforce competencies. Workforce activities that had focused primarily on unit concerns at the Managed Level are re-oriented by adjusting them to include concerns that are strategic to shaping the organization's workforce and the workforce competencies needed in the workforce. As a result of incorporating an organizational orientation in the performance of workforce activities, the performance of activities should become more consistent across units.

Both the organization and its units adjust recruiting practices to satisfy requirements for workforce competencies identified in the strategic workforce plan. The organization works with potential sources of qualified candidates to improve the application rate for individuals with aptitude in relevant workforce competencies. Selection methods are tailored to assess the knowledge, skills, and process abilities related to workforce competencies. Staffing decisions are based, in part, on capability in the relevant competencies that are involved both in the new position and in possible future positions.

Units develop performance objectives for contributing to long-term development in workforce competencies. Individuals incorporate competency development into their performance objectives. Periodic discussions of work performance include feedback on development and application of workforce competencies.

The organization's compensation strategy and practices are structured to motivate development in the organization's workforce competencies.



Adjustments to compensation are partly based on developing and applying workforce competencies. Recognition and rewards can be provided for outstanding development or application of workforce competencies.

## **Goals**

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|---------------|---|
| <b>Goal 1</b> | <b>Workforce practices are focused on increasing the organization's capability in its workforce competencies.</b>   |
| <b>Goal 2</b> | <b>Workforce activities within units encourage and support individuals and workgroups in developing and applying the organization's workforce competencies.</b>         |
| <b>Goal 3</b> | <b>Compensation strategies and recognition and reward practices are designed to encourage development and application of the organization's workforce competencies.</b> |
| <b>Goal 4</b> | <b>Competency-Based Practices are institutionalized to ensure they are performed as defined organizational processes.</b>   |

## **Commitment to Perform**

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| <b>Commitment 1</b> | <b>Relevant organizational policies promote increased capability in the organization's workforce competencies.</b> |
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In deploying Competency-Based Practices as organizations mature, existing policies that were put in place at the Managed Level are typically revised to address issues relevant to the competency focus of the organization's practices at the Defined Level.

Issues typically addressed in these policies include:

1. Recruiting activities focus on the most likely sources of candidates with existing or potential capability in the organization's workforce competencies.
2. The organization's workforce activities are tailored to motivate and develop the organization's workforce competencies.
3. Selection activities are based, in part, on identifying candidates with the strongest capabilities and potential in the organization's workforce competencies.
4. Performance management includes activities, criteria, and feedback designed to aid development of individuals in the organization's workforce competencies.
5. Recognition and reward activities focus, in part, on motivating development and application of the organization's workforce competencies.
6. Compensation strategies focus, in part, on increasing the organization's capability in its workforce competencies.
7. Competency-based adjustments to policies, workforce practices, and workforce activities comply with relevant laws, regulations, and organizational policies.

All competency-based adjustments to workforce practices are reviewed by a human resources, or other appropriate, professional to ensure their compliance with all applicable laws and regulations governing these practices, as well as the organization's policies and stated values.

**Commitment 2**      **An organizational role(s) is assigned responsibility for coordinating adjustments in workforce practices designed to increase the organization's capability in its workforce competencies.**

Examples of individuals who might be assigned responsibility for coordinating adjustments in workforce practices include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Organizational competency definition or competency management group

## **Ability to Perform**

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**Ability 1**      **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that workforce practices and activities are designed to motivate individuals and workgroups to develop and apply workforce competencies.**

**Ability 2**      **A responsible individual(s) coordinates the competency-based practices and activities for each workforce competency.**

**Ability 3**

**Adequate resources are provided for ensuring that workforce practices and activities are designed to increase the organization's capability in its workforce competencies.**

1. The workforce competencies of the organization have been analyzed, and the organization's capability in these competencies is known.

Refer to the Competency Analysis, Workforce Planning, and Competency Development process areas for practices that identify, plan for the development of, and develop the organization's workforce competencies.

2. Experienced individuals who have expertise in workforce practices are available for guiding adjustments that increase the organization's capability in its workforce competencies.
3. Resources for supporting workforce practices and activities that have been adjusted to increase the organization's capability in its workforce competencies are made available.

Examples of resources that could be used to support adjusting workforce practices and activities include the following:

- Information bases on recruiting sources
- Selection guides and aides
- Performance management forms and guides
- Training materials
- Compensation and reward guides
- Career planning guides and tools
- Electronic availability of information concerning competency-based workforce practices
- Other relevant workforce assets

4. The strategic workforce plans of the organization and each unit's planned workforce activities focus on increasing the capability of the organization in its workforce competencies.
5. Funding to accomplish competency-based workforce practices and activities is made available.

6. Adequate time is made available for performing competency-based workforce practices and activities.

**Ability 4**

**Those responsible for competency-based workforce activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.**

1. Individuals assigned responsibility for performing competency-based workforce activities receive training or orientation in the application of these practices.
2. Individuals assigned responsibility for designing and adjusting competency-based workforce practices receive training in the knowledge and skills required for performing their responsibilities.

**Ability 5**

**The practices and procedures for performing competency-based workforce practices are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.
2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.
3. The individual(s) assigned responsibility for Competency-Based Practices across the organization ensures that defined practices and procedures are:
  - ☐ maintained under version control,
  - ☐ disseminated through appropriate media,
  - ☐ interpreted appropriately for different situations, and
  - ☐ updated through orderly methods.
4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing competency-based workforce practices are captured to support the future use and improvement of the organization's practices.

## **Practices Performed**

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### **Practice 1**

**Recruiting activities are planned and executed to satisfy the organization's requirements for workforce competencies.**

1. Recruiting activities are tailored to satisfy organizational workforce competency objectives, in addition to the specific requirements of currently open positions.

Refer to Practice 1 of the Workforce Planning process area for information regarding identifying the workforce needs of the organization. Refer to Practices 7, 8, and 9 of the Competency Analysis process area for information regarding tracking the competencies of the workforce.

2. The organization communicates its current and anticipated requirements for workforce competencies to likely sources of qualified candidates.
3. The organization establishes relationships with external sources willing to develop qualified candidates with the knowledge and skills that match the organization's current and anticipated competency requirements.

Examples of possible aspects of relationships with sources of qualified candidates include the following:

- Periodic recruiting trips
- Financial support for teaching, research, or collaborative projects
- Providing facilities or equipment in support of teaching or research
- Summer or part-time employment for faculty or students
- Internships
- Sabbatical opportunities for faculty
- Providing lecturers on a temporary or sabbatical basis
- Frequent interaction with educational institutions to track the development of the most qualified candidates
- Career guidance to students
- Involvement and support for professional or honorary societies
- Support for professional meetings and conferences
- Awards and other forms of recognition for outstanding students or professionals

## Practice 2

**Selection processes are enhanced to evaluate each candidate's potential for contributing to organizational and unit objectives for capability in workforce competencies.**

1. Descriptions of open positions:
  - ☐ incorporate information from relevant workforce competencies,
  - ☐ describe the level of capability required in each relevant workforce competency, and
  - ☐ describe how the open position relates to career development in relevant workforce competencies
2. In addition to the specific requirements of an open position, selection criteria are enhanced to include:
  - ☐ current capability in relevant workforce competencies,
  - ☐ potential future capability in workforce competencies, and
  - ☐ evidence of interest in developing relevant workforce competencies.

3. In addition to information about position-related knowledge and skills, selection processes are designed to produce information about each candidate's capabilities in relevant workforce competencies.

**Practice 3**

**Staffing decisions are made, in part, to achieve the competency development objectives of the organization and the career objectives of qualified candidates.**

1. Competency information is used to identify internal candidates for open positions or special assignments.

Managers, human resource professionals, or others responsible for career planning can use the organization's competency information. Based on the organization's policies regarding use of personal data, different levels of information may be available to different individuals or workgroups. Support (manual or electronic) is provided for using competency information.

2. Personal development plans and career objectives are used as input when selecting among candidates for open positions.

The selection process, especially for positions beyond entry level, involves the review of the development plans of qualified internal candidates to further develop, or broaden, their capabilities in the organization's workforce competencies. Thus, the staffing process becomes one mechanism for increasing the organization's capability in its workforce competencies.

3. Staffing decisions consider career development objectives when an open position represents a graduated career opportunity in one or more workforce competencies.
4. In addition to position responsibilities, candidates are evaluated for their potential to contribute to the organization's current and future capability requirements in workforce competencies.
5. The demonstrated capability of candidates in relevant workforce competencies is incorporated into selection decisions.



**Practice 4                      Transition activities provide orientation to workforce competencies.**

1. Orientation to new positions is designed to familiarize individuals with the competencies required to perform their work assignments.
2. Orientation for individuals new to the organization is designed, in part, to inform them about the organization's workforce competencies and career development options, including:
  - ☐ the knowledge, skills, and process abilities in competencies relevant to their work,
  - ☐ development activities,
  - ☐ career opportunities, and
  - ☐ competence-related workforce practices.

**Practice 5                      Work assignments are designed, in part, to enhance personal and career development objectives.**

1. Work assignments are defined in consultation with individuals assigned responsibility for the work.
2. Work assignments are defined in an agreement about the committed work that will be performed in response to the requirements of the position being filled.
3. To the extent possible, work assignments are designed to enhance:
  - ☐ the immediate development objectives in the individual's development plan,
  - ☐ the individual's growth in workforce competencies, and
  - ☐ the individual's career objectives.
4. The extent to which work assignments contribute to personal and career objectives is discussed during staffing, performance management, and related activities.

**Practice 6****Each unit documents performance objectives for developing workforce competencies.**

1. Each unit defines and documents performance objectives for:
  - ☐ developing the workforce competencies needed to perform its business activities,
  - ☐ contributing to the strategic competency development objectives of the organization, and
  - ☐ performing planned workforce activities that support these competence development objectives.
2. Relevant portions of the unit's performance objectives for developing workforce competencies are included in the individual performance objectives of each person who is responsible for performing the unit's workforce activities.
3. The unit's performance objectives for developing competencies are allocated to the personal development plans of those whose competencies are to be developed.

**Practice 7****Each individual documents performance objectives for developing additional capability in the organization's workforce competencies.**

1. Objectives for developing in relevant workforce competencies are included in each individual's performance objectives.

Example criteria to consider when selecting among workforce competencies to include in an individual's performance objectives include the following:

- Relevance of the workforce competency to current assigned responsibilities
- Relevance of the workforce competency to future business activities within the unit
- Relevance of the workforce competency to the career development plans of the individual
- Contribution to growth in the workforce competencies of the workgroup, unit, or organization
- Importance to the organization's strategic requirements for workforce competencies

2. Some of each individual's performance objectives are drawn from their personal development plans.

Examples of performance objectives related to individual competency and career development include the following:

- Increasing capability in one or more of the organization's workforce competencies
- Achieving limited capability in workforce competencies that supplement an individual's primary competencies
- Assisting other members of the unit or organization in increasing their capability in the organization's workforce competencies

## Practice 8

**Ongoing discussions of work performance include feedback on an individual's development and application of relevant workforce competencies.**

1. Those responsible for ongoing communication about an individual's work performance provide feedback concerning:
  - ☐ evidence of growing capability in relevant workforce competencies,
  - ☐ current level of capability in relevant workforce competencies, and
  - ☐ ability to apply relevant workforce competencies for improving work performance,

2. Individuals are encouraged to seek guidance from relevant sources on their development and application of workforce competencies.

Examples of relevant sources of feedback on development and performance of competencies include the following:

- Managers
- Mentors or coaches
- Trainers or performance experts
- Senior professionals in the competency
- Peers
- Outside experts

**Practice 9****Each individual's performance is assessed, in part, against the objectives of their personal development plan.**

1. Each individual's success in accomplishing the objectives established in their personal development plan is evaluated when providing formal performance feedback.
2. Each individual's work performance is evaluated to assess their level of capability in relevant workforce competencies.
3. The results of each individual's work performance are evaluated to identify evidence of capability in workforce competencies not involved in his or her assigned responsibilities or performance criteria.

Reasons for evaluating other workforce competencies include gathering information for guiding decisions about additional career options and development opportunities.

4. Information about each individual's capability in the organization's workforce competencies is documented for use in:
  - ☐ planning their development activities and career options,
  - ☐ reviewing progress in accomplishing development objectives, and
  - ☐ identifying new, or revising existing, development objectives.

Refer to Practice 9 of the Competency Analysis process area for information regarding updating competency information.

**Practice 10**

**The compensation strategy is established and maintained, in part, to increase the organization's capability in its workforce competencies.**

1. The compensation strategy is adjusted to achieve specific objectives in developing and applying the organization's workforce competencies.

Examples of competency objectives to be motivated by adjustments in the compensation strategy include the following:

- Motivating growth in workforce competencies
- Motivating the workforce to develop capability in scarce competencies
- Maintaining equity in compensation among comparable capability levels across workforce competencies, and in relation to relevant labor markets
- Attracting talent with knowledge and skills in the organization's workforce competencies
- Retaining talent in the organization's workforce competencies
- Motivating the use of workforce competencies to improve performance
- Supporting others in developing and applying workforce competencies

2. Compensation practices are adjusted as necessary to achieve the objectives of the compensation strategy.

Examples of compensation practices that can be adjusted to support the organization's compensation strategy include the following:

- Creating salary bands across related workforce competencies for capability levels (e.g., technical associate, member of the technical staff [MTS], senior MTS, principal MTS, etc.) defined relative to the knowledge, skills, and process abilities within each workforce competency
- Tying some compensation actions to events (rather than position changes or calendar-based actions) indicating achievement of greater capability within a workforce competency (such as receipt of a degree or professional certification)
- Factoring into a bonus or other variable-based pay the attainment or application of greater capability in relevant workforce competencies
- Tying the level or availability of some benefits to developing and applying greater capability in relevant workforce competencies
- Tying stock and other incentives to developing and applying greater capability in workforce competencies

3. The effectiveness of the compensation strategy in improving the organization's capability in its workforce competencies is:
  - ☐ periodically reviewed,
  - ☐ adjusted as necessary to support capability and performance objectives, and
  - ☐ revised as appropriate when intended competency development or performance results are not achieved.

**Practice 11****Compensation practices are defined to support capability objectives within each workforce competency.**

Refer to Practice 2 of the Workforce Planning process area for information regarding establishing measurable capability objectives within each workforce competency.

1. Within each workforce competency, compensation practices are evaluated for their current and anticipated impact on:
  - ☐ strategic capability and staffing goals in the competency,

- ☐ ability to attract and retain people with required capabilities in the competency,
- ☐ graduated career development and promotional opportunities within the competency, and
- ☐ increasing the impact of capability in the competency on performance.

2. Compensation practices are adjusted to support capability objectives in each workforce competency.

Examples of adjustments to compensation practices that support capability objectives include the following:

- Compensation actions for recruiting selected candidates with needed competencies
- Compensation adjustments based on availability of different competencies within the local or national labor markets
- Compensation actions based on promotion through graduated career steps within a competency
- Compensation actions for completing specific competency development activities such as courses, degrees, or professional certifications
- Compensation actions for applying increased capability in a competency to improve performance
- Compensation actions for accomplishments in assisting the competency development of other individuals or teams

3. All adjustments to compensation practices that support capability objectives in a specific workforce competency must:
  - ☐ be aligned with objectives in the strategic workforce plan,
  - ☐ be consistent with the compensation policy, strategy, and related adjustments to organization-wide compensation practices,
  - ☐ maintain equity among workforce competencies relative to their value to the organization and availability in the marketplace.

## **Practice 12**

**Adjustments to compensation are partly determined by each individual's development and application of relevant workforce competencies.**

1. Individuals' development and application of relevant workforce competencies is factored into decisions concerning their compensation.



Examples of competency-based factors affecting compensation decisions include the following:

- Current capability in relevant workforce competencies
- Development of capabilities in scarce competencies
- Market value of their capability in their competencies
- Successful completion of personal development plan objectives
- Ability to translate capability in workforce competencies into performance at the individual, workgroup, unit, or organizational levels
- Contribution in helping or mentoring others to improve their knowledge and skills in the organization's workforce competencies

2. The impact on compensation of developing and applying capability in relevant workforce competencies is discussed with each individual.
3. Each individual's compensation is reviewed to ensure it is:
  - ☐ consistent with the organization's compensation policy and practices,
  - ☐ consistent with objectives documented in the organization's strategic workforce plan, the unit's planned workforce activities, and the individual's development plan,
  - ☐ consistent with the individual's capability in relevant workforce competencies, and
  - ☐ equitable with the compensation of other individuals possessing similar capabilities.
4. Corrective actions are taken when an individual's compensation is found to be inequitable or inconsistent with organizational policies, practices, objectives, or individual capability.

### Practice 13

**Recognition and rewards for developing or applying workforce competencies are provided, when appropriate, at the individual, workgroup, or unit levels.**

1. Policies are revised to include development and application of the organization's workforce competencies as a basis for recognition or reward.
2. The level of recognition or reward is equitable with regard to the level of capability developed or applied.

**Practice 14**      **As the definition or requirements of its workforce competencies change, the organization re-evaluates its workforce policies and practices and adjusts them, as needed.**

## **Measurement and Analysis**

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**Measurement 1**      **Measurements are made and used to determine the status and performance of workforce practices to increase capability in the organization's workforce competencies.**

Examples of measurements include the following:

- Amount of time spent in tailoring workforce policies, practices, and activities to support developing and applying the organization's workforce competencies
- Number of people involved in tailoring workforce activities to the organization's workforce competencies
- Rate of progress in tailoring the workforce activities to focus on the organization's workforce competencies

**Measurement 2**      **Measurements are made and used to determine how effectively competency-based workforce practices are increasing capability in the organization's workforce competencies.**

Examples of measurements of the effectiveness of competency-based workforce practices include the following:

- Staff ratings of the effectiveness of competency-based workforce practices
- Increased level of knowledge, skills, and process ability resulting from competency-based recruiting, selection, and performance management practices
- Effectiveness of various competency development practices and activities in increasing the capability of individuals or workgroups in the organization's workforce competencies
- Increased level of motivation and retention resulting from competency-based career planning, compensation, and reward practices
- Indicators of the organization's increased efficiency or quality in performing competency-based workforce activities

## Verifying Implementation

### Verification 1

**A responsible individual(s) verifies that competency-based workforce practices are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Competency-based workforce practices and activities comply with the organization's policies and stated values.
2. All actions related to competency-based workforce practices and activities are periodically reviewed to ensure that they conform to documented policies.
3. Competency-based workforce practices and activities comply with relevant laws and regulations.
4. Competency-based workforce practices and activities are performed according to the organization's documented practices and procedures.

5. Noncompliance issues are handled appropriately.

**Verification 2**

**Executive management periodically reviews the activities implementing competency-based workforce practices, their status and results, and resolves issues.**

These reviews verify:

1. The appropriateness of competency-based workforce activities at the organizational and unit levels.
2. Progress in performing competency-based workforce activities.
3. Results from reviews of competency-based workforce practices and activities.

Refer to Verification 1 for information regarding reviews of Competency-Based Practices activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.
5. Trends related to competency-based workforce practices.
6. Effectiveness of competency-based workforce practices and activities in achieving planned objectives in the organization's workforce competencies.

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# Workgroup Development

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*A process area at Maturity Level 3: Defined*

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## **Purpose**

**The purpose of Workgroup Development is to organize work around competency-based process abilities.**

## **Description**

As used in the People CMM, a *workgroup* is a collection of people who work closely together on tasks that are highly interdependent to achieve shared objectives. A workgroup reports to a responsible individual who may be involved in managing its day to day activities.

Responsible individuals analyze the work within a unit or set of related units to identify the dependencies among tasks. Work can then be designed around workgroups that maximize the interdependency of tasks within the workgroup and minimize dependencies with other workgroups.

The organization defines common workgroup methods and procedures to be used in performing standard activities that occur in most groups, such as problem solving or holding meetings. The workgroup tailors these processes along with those from the workforce competencies represented in the workgroup into a process to be used in planning and performing its business activities. Workgroups tailor the defined roles that must be performed within its processes and assign them to workgroup members.

Workgroup members work with each other to coordinate dependencies and ensure adequate flow of information. They also work on developing their workgroup skills and improve the workgroup's effectiveness. When a workgroup shares dependencies with other workgroups or organizational entities, it interacts with them to define interfaces to coordinate their activities and commitments.

A responsible individual ensures the workgroup develops documented performance objectives, and that these objectives are allocated to each of its members. Responsible individuals manage workgroup performance and

track the status of work. When a workgroup's business activities are complete, it is disbanded using an orderly process that preserves its assets, completes required workforce activities, and ensures appropriate work assignments for each of its departing members.

## **Goals**

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|---------------|--|
| <b>Goal 1</b> | <b>Workgroups are established to optimize the performance of interdependent work.</b>  |
| <b>Goal 2</b> | <b>Workgroups tailor defined processes and roles for use in planning and performing their work.</b>  |
| <b>Goal 3</b> | <b>Workgroup staffing activities focus on the assignment, development, and future deployment of the organization's workforce competencies.</b> |
| <b>Goal 4</b> | <b>Workgroup performance is managed against documented objectives for committed work.</b>  |
| <b>Goal 5</b> | <b>Workgroup Development practices are institutionalized to ensure they are performed as defined organizational processes.</b>                 |

## **Commitment to Perform**

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**Commitment 1      The organization establishes and maintains a documented policy for conducting Workgroup Development activities.**

Issues typically addressed in the policy include:

1. Workgroup Development serves the business objectives and stated values of the organization.
2. Workgroup Development activities are planned within units and are included in the strategic workforce plan.
3. Workgroups are organized to perform interdependent tasks that constitute some of the organization's business activities.
4. Procedures are defined, documented, and used for guiding the organization's Workgroup Development activities.

These procedures typically specify:

- ☐ how work is analyzed and designed to expedite its performance in workgroups,
  - ☐ how workgroups are staffed,
  - ☐ how workgroups establish performance objectives and work commitments,
  - ☐ how workgroup skills are developed and maintained,
  - ☐ how workgroup performance is managed, and
  - ☐ how workgroups are dissolved, when appropriate.
5. Workgroup Development practices and activities comply with relevant laws, regulations, and organizational policies.

Human resources or other appropriate professionals are consulted to ensure that Workgroup Development activities comply with all relevant laws, regulations, and organizational policies.

- Commitment 2**      **An organizational role(s) is assigned responsibility for coordinating Workgroup Development activities across the organization.**
- Commitment 3**      **Workgroup Development activities are incorporated into the organization's strategic workforce plan and the planned workforce activities within units.**

## **Ability to Perform**

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- Ability 1**      **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate in Workgroup Development activities, as appropriate.**
- Ability 2**      **Adequate resources are provided for performing Workgroup Development activities.**

1. The organization's workforce competencies are defined.

Refer to Practices 3 and 5 of the Competency Analysis process area for a description of the practices that produce descriptions of the process abilities of each of the organization's workforce competencies.

2. Workforce competency descriptions and competency-based processes are available for use in Workgroup Development activities.

Refer to the Competency Analysis process area regarding practices that produce descriptions of the organization's workforce competencies and competency-based processes.

3. Experienced individuals who have expertise relevant to Workgroup Development are made available for developing workgroups.



Examples of individuals with expertise in Workgroup Development include the following:

- Human resources or other appropriate professionals
- Training or other development staff
- Group trainers or facilitators
- Quality or process improvement staff
- Individuals from successful workgroups

4. Resources for supporting Workgroup Development activities are made available. The resources provided to workgroups should be:
- ☐ selected for their support of the workgroup's defined processes,
  - ☐ integrated into the defined processes and other work-related activities of the workgroup, and
  - ☐ consistent across dependent workgroups to the extent possible.

Examples of resources to support Workgroup Development activities include the following:

- Space for group meetings
- Furniture and other physical resources for supporting workgroup meetings and activities
- Voice and electronic communication equipment
- Electronic access and tools for supporting virtual workgroups
- Transportation in support of workgroup activities
- Workgroup management tools and resources
- Workgroup planning and estimating tools
- Tools for managing process and role definitions

5. Funding to accomplish Workgroup Development activities is made available.
6. Adequate time is made available for training and facilitation in workgroup skills.

**Ability 3**

**Responsible individual(s) to whom the members of a workgroup are accountable develop the knowledge, skills, and process abilities needed to manage workgroups.**

Examples of relevant workgroup management skills in which responsible individuals might be trained include the following:

- Establishing performance objectives for a workgroup's committed work that are drawn from the unit's performance objectives
- Technical and competence-based aspects of the work assigned to a workgroup
- Competency-based roles and processes
- Procedures for estimating, planning, and tracking group work based on defined workgroup roles and processes
- Methods for applying workforce activities, such as staffing, performance management, recognition and reward, and competency development, to workgroups
- Methods for managing the performance of individuals within the workgroup context
- Methods for coaching and facilitating workgroups

**Ability 4**                      **Workgroup members receive appropriate guidance or training in workgroup skills.**

Examples of relevant workgroup skills may include the following:

- Workgroup formation and member selection
- Stages of workgroup development
- Tailoring competency-based workgroup processes
- Role and task definition
- Group dynamics
- Workgroup leadership and decision making
- Establishing and managing workgroup performance objectives
- Workgroup communication and coordination
- Resolving workgroup problems and conflicts
- Cross-training in various roles and responsibilities

**Ability 5**                      **The practices and procedures for performing Workgroup Development are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.
2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.
3. The individual(s) assigned responsibility for coordinating Workgroup Development activities across the organization ensures that defined practices and procedures are:
  - ☐ maintained under version control,
  - ☐ disseminated through appropriate media,
  - ☐ interpreted appropriately for different situations, and
  - ☐ updated through orderly methods.
4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Workgroup Development

practices are captured to support the future use and improvement of the organization's practices.

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## Practices Performed

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### Practice 1

**The committed work within a unit is analyzed to identify its process dependencies.**

1. Those responsible for the performance of a unit analyze its committed work to identify the dependencies required to accomplish it.

Examples of sources of dependencies in a unit's committed work include the following:

- Competency-based process abilities of those performing the work
- Defined workflows and other processes within the organization
- Dependencies shared with individuals or workgroups in other units
- Work rules captured in automated systems
- Knowledge of those performing the unit's work

2. The process dependencies within a unit's committed work are documented.

### Practice 2

**Committed work is structured to optimize the coordination and performance of interdependent work within workgroups.**

1. Committed work is organized and allocated to workgroups to:
  - ☐ ensure each workgroup performs a defined collection of interdependent tasks,
  - ☐ ensure no workgroup is assigned more work than it can accomplish,
  - ☐ optimize the gathering of task dependencies within a workgroup,
  - ☐ minimize task dependencies across workgroups, and
  - ☐ ensure coordination of task dependencies with workgroups in other units.

2. Workgroups are organized to perform a defined collection of interdependent tasks.
3. The committed work in a unit is periodically reevaluated to determine whether it continues to be allocated across workgroups in a way that optimizes the coordination and performance of interdependent work.

**Practice 3**

**Each workgroup is formed to perform a defined set of business activities and to accomplish defined objectives.**

Workgroups are frequently composed of people from a single unit. Even when contained within one unit, workgroups may occasionally include one or two members from other units who are required for specific tasks. However, workgroups can form outside unit boundaries with members from several units. When workgroup membership extends to several units, workgroup reporting and accountability must avoid creating conflicts between individual and workgroup reporting relationships.

1. A responsible individual(s) organizes each workgroup to perform a set of defined business activities.

Refer to Practices 9 and 13 of this process area for information regarding how workgroup performance objectives may be established and documented through the workgroup planning process, and how the workgroup establishes performance objectives with the manager or supervisor to whom it reports.

2. Each workgroup is chartered to perform a documented set of business activities and to accomplish defined objectives.

Topics addressed in the charter for a workgroup typically include the following:

- Workgroup purpose
- Assigned business activities
- Defined objectives
- Detailed responsibilities, where applicable
- Boundaries
- Resources available
- Identification of the individuals responsible for tracking and managing workgroup performance.

3. Each workgroup's assigned business activities and objectives are periodically reviewed to ensure:
  - ☐ the activity of the workgroup remains aligned with its chartered business activities and objectives,
  - ☐ the workgroup's business activities and objectives remain aligned with the organization's objectives, and
  - ☐ corrective action is taken to address misalignments.

**Practice 4****Methods and procedures for performing common workgroup functions are defined and maintained for use by workgroups.**

Although workgroups will differ in the competencies composing them and the responsibilities they are assigned, they nevertheless perform some common activities for which the organization can provide common methods and procedures.

Examples of common workgroup functions performed by workgroups include the following:

- Negotiating work commitments
- Brainstorming
- Problem-solving
- Resolving conflicts

1. Methods, procedures, and tailoring guidelines for performing common workgroup functions are established and maintained.

Examples of artifacts to be maintained to support common workgroup methods and procedures include the following:

- Method or procedure definitions
- Templates and forms
- Tailoring guidelines for use in adapting the methods and procedures for use in different types of workgroups
- Sample artifacts produced in applying the methods and procedures
- Materials for training the methods and procedures
- Case studies of how the methods and procedures have been applied

2. Information regarding defined workgroup methods and procedures is communicated and made available.

Examples of mechanisms for communicating defined workgroup methods and procedures and making them available include the following:

- Intranet or other electronic means
- Manuals
- Workgroup facilitators

3. Defined workgroup methods and procedures are periodically reviewed and revised to ensure the best workgroup practices continue to be propagated throughout the organization.

**Practice 5****The competencies required to perform a workgroup's business activities are identified.**

1. Before a workgroup is formed, the workforce competencies needed to perform the workgroup's business activities are identified.
2. The workforce competencies required to perform the workgroup's business activities are documented and made available for use in staffing, performance management, training, and other workforce activities related to the workgroup.
3. The workforce competencies included in a workgroup are reevaluated whenever the processes, technologies, products, or services associated with a workgroup are significantly redefined.



**Practice 6**

**Staffing processes are performed to ensure that workgroups are staffed with individuals whose competencies match those needed to perform the workgroup's business activities.**

1. Individuals to whom workgroups report incorporate workforce competency information into workgroup staffing processes.

Examples of workforce competency-related information to be incorporated into a workgroup's position descriptions, selection processes, and criteria for evaluating candidates include the following:

- Workforce competencies related to the business activities assigned to the workgroup
- Ability to work in a group environment
- Ability to coordinate with individuals possessing other workforce competencies
- Ability to fulfill a specific role responsibility in the workgroup, such as team leader or intergroup liaison
- Ability to acquire additional competency related to the workgroup's business activities
- Contribution to the individual's competency development and career objectives

2. When appropriate, workgroup members are involved in recruiting candidates with appropriate workforce competencies for open positions.

Typically, workgroup members are involved in staffing processes and decisions. Examples of occasions when workgroup members may not be involved in staffing processes and decisions include the following:

- When management is initially assigning a set of individuals to form a workgroup
- When an individual is being assigned to perform a temporary role in the workgroup
- When an individual with a unique competency is being assigned by another group to fill a specific competency-based role in the workgroup, such as finance or quality assurance

3. When appropriate, workgroup members are involved in executing a selection process for evaluating the competencies and other qualifications of candidates for open positions in the workgroup.

Examples of non-competency-related information that may be incorporated into workgroup selection processes and decisions include the following:

- Existing work load and time available to fulfill workgroup responsibilities
- Anticipated fit with other members of the workgroup
- Other organizational staffing goals

4. When appropriate, workgroup members are involved in selection decisions.
5. The workgroup is involved in orienting new members to the workgroup's processes, commitments, and other members.

**Practice 7****Workgroups tailor competency-based processes for performing their business activities.**

In order to improve coordination within a workgroup beyond what can be achieved solely through good interpersonal skills, a workgroup must define a set of operating processes for coordinating their work. Frequently, workgroups are composed of members from a single workforce competency (e.g., a software development team, a sales team, or a financial audit team), and individual members fill roles typically structured by the process abilities defined within their competency.

At the Defined Level, workgroup processes typically revolve around the process abilities within workforce competencies, and occasionally require coordinated interfaces between processes performed by individuals from different competencies.

However, individuals from a different competency are occasionally assigned to fill a role in a workgroup. In such cases, members from a different competency often fulfill 'staff' functions affiliated with the workgroup rather than functioning as integral members. For instance, a finance specialist managing the budget for a product development project plays a role primarily defined by their competency in finance. How they perform most of their processes within the workgroup is defined by the process abilities of their competency in finance. In performing their role, they coordinate their financial activities with the rest of the workgroup based on dependencies in the product development process for financial information or actions.

1. Workgroup members sharing a common workforce competency jointly:
  - ☐ analyze the workgroup's assigned responsibilities to determine activities and results for which they will most likely be accountable,
  - ☐ compare competency-based processes from their workforce competency to the activities and results for which they will most likely be accountable,
  - ☐ select among the alternatives and tailor competency-based processes to best support the workgroup's performance,
  - ☐ document the competency-based processes to be used in supporting the workgroup's performance and any tailoring required to make the processes more fit for use, and
  - ☐ periodically review the tailored competency-based processes to ensure they continue to support workgroup performance and take corrective action where concerns are detected.

When workgroup members are from different workforce competencies, individuals from each competency select and tailor processes from their workforce competency for use in guiding their contributions to the workgroup. Thus, the different members of a workgroup may be following different competency-based processes in performing their work. Each member follows the competency-based processes associated with their workforce competency.

2. When a workgroup is composed of members from different workforce competencies, they should:
  - ☐ review and agree on the competency-based processes being employed by members from each competency, and
  - ☐ mutually define interfaces between their competency-based processes for coordinating work dependencies.

3. The workgroup documents its operating processes which include:

*A workgroup's operating processes at the Defined Level are composed from the collection of tailored competency-based processes and common workgroup methods and procedures selected for use within the workgroup. A workgroup's operating processes are used for:*

- Guiding the activities of workgroup members
- Orienting new workgroup members
- Understanding and evaluating the process performance of the workgroup

- ☐ the competency-based processes tailored by members of the workgroup from their workforce competencies,
- ☐ mutually defined interfaces between competency-based processes, and
- ☐ choices among common workgroup methods and procedures defined by the organization for performing common workgroup functions.

**Practice 8**

**Roles for performing the workgroup's operating processes are defined and allocated to individuals.**

When a workgroup method, procedure, or a competency-based process is too large to be performed by a single individual, it must be divided into work packages called roles. A *role* is a defined set of work tasks, dependencies, and responsibilities that can be assigned to an individual as a work package. A role describes a collection of tasks that constitute one component of a procedure or process, whereas an assignment consists of one or more roles whose performance constitutes an individual's committed work. A role is distinguished from an individual's assignment within the workgroup, which consists of performing one or more roles.

1. The roles necessary to perform the tailored competency-based processes or common workgroup methods and procedures required to accomplish a workgroup's business activities are defined.

Descriptions of pre-defined roles are often incorporated into definitions of competency-based or common workgroup methods and procedures. For competency-based processes, process elements are gathered into clusters of related tasks that can be assigned as a role to one or more individuals possessing the competency. Roles defined in common workgroup methods and procedures can be assigned to any member of the workgroup trained to perform the tasks composing the role. Individuals may perform more than one role as part of their contribution to the workgroup.

If roles are not defined within competency-based or common workgroup methods and procedures, then the elements of these processes must be organized into defined roles. Roles may be specific to competency-based processes or to common workgroup methods and procedures, or may be a combination of both. As the organization learns more about how these roles evolve in workgroups, it may incorporate them into the definitions of competency-based or common workgroup methods and procedures. Well-defined roles can be reused by other workgroups when performing similar processes.

When some tasks required to accomplish the workgroup's committed objectives are not defined in competency-based or common workgroup methods and procedures, then they must be organized and allocated among workgroup members as individual roles.

2. Defined roles are tailored for use within the context of the workgroup's business activities.

Examples of activities through which role descriptions are tailored and elaborated for use include the following:

- Tailoring competency-based processes
- Tailoring common workgroup methods and procedures
- Workgroup planning
- Defining workgroup or individual performance objectives
- Reviewing individual or workgroup performance
- Performing process analyses
- Coordinating activities among workgroup members

3. A responsible individual(s) allocates roles among members of the workgroup.

The individual to whom a workgroup reports is responsible for ensuring that its roles are defined and assigned appropriately. However, responsible managers can delegate this responsibility to another individual, such as a team leader or workgroup facilitator, or to the workgroup itself. Individuals should only be allocated roles they can be expected to accomplish within the limits of their competency and available effort. Examples of reasons behind role assignments to individuals may include the following:

- Competency or experience in the tasks assigned to the role
- Balancing of work across individuals
- Cross-training in the workgroup's business activities
- Competency or career development

4. Each workgroup member's assignment is documented as the combination of roles allocated to them.

Example forms in which assignments may be documented include the following:

- Position descriptions
- Workgroup planning documents
- Agreements for coordinating work dependencies
- Performance objectives for committed work

5. A responsible individual(s) periodically analyze the performance of workgroups to ensure that no individual is overloaded with roles.
6. A responsible individual(s) periodically analyze the performance of workgroups to ensure defined roles are not overloaded with tasks.

## **Practice 9**

### **Workgroup activities and commitments are planned.**

1. Workgroups plan how they will accomplish the business activities assigned to them.

Workgroup planning typically addresses:

- ☐ performance commitments,

- ☐ competency-based processes and common workgroup methods and procedures tailored for use by the workgroup,
- ☐ roles to be performed,
- ☐ work dependencies within the workgroup, or with other workgroups or organizational entities,
- ☐ descriptions of work products or services,
- ☐ schedules and budgets,
- ☐ resources required,
- ☐ how risks will be identified and handled,
- ☐ measures of process performance, and
- ☐ necessary management and support activities.

Examples of information from which a workgroup's plans can be developed include the following:

- Assigned responsibilities
- Descriptions of products or services
- Descriptions of competency-based processes or common workgroup methods and procedures
- Work breakdown structures
- Previously constructed plans by workgroups assigned similar responsibilities
- Historical data on workgroup and task performance

2. Members of the workgroup agree to:

- ☐ their individual commitments to the workgroup, and
- ☐ the workgroup's commitments to other workgroups, its own unit, or other entities in the organization, and

When members of a workgroup individually or collectively do not believe they can accomplish the business activities assigned to them within the parameters (e.g., time, budget, quality, etc) specified, they must negotiate work responsibilities until they arrive at commitments they believe they can meet.

- ☐ changes to individual or workgroup commitments.

These commitments serve as the basis for establishing measurable performance objectives for the workgroup. Refer to Practice 13 for information regarding establishing the workgroup's performance objectives and tracking and managing workgroup performance against these objectives.

3. A workgroup's plan is reviewed to ensure:
  - ☐ it satisfies the responsibilities assigned to the workgroup,
  - ☐ the commitments are achievable,
  - ☐ the workgroup's dependencies with other entities in the organization are coordinated,
  - ☐ workloads are balanced across the workgroup, and
  - ☐ no individual's performance commitments to the workgroup are in jeopardy because of work commitments to other workgroups or organizational entities.
4. Workgroup plans are documented.

Examples of how a workgroup's plan can be documented include the following:

- As a separate workgroup plan
- As a component of a project or unit plan
- As performance objectives at the individual, workgroup, or unit levels
- As a component of a documented workflow
- As a contribution to the work of a unit or higher organizational entity

**Practice 10****Workgroup members establish mechanisms for communicating information and coordinating dependencies among roles.**

1. Workgroup members identify the dependencies among their role responsibilities.



2. Workgroup members agree on how they will coordinate work processes and products to satisfy their dependencies, and these agreements are documented during such activities as:
  - ☐ the tailoring of competency-based or common workgroup methods and procedures to create the workgroup's operating processes,
  - ☐ workgroup planning, or
  - ☐ the definition and allocation of roles.
3. When subsets of workgroup members are using different competency-based processes, they define interfaces between roles in different competencies to ensure the coordination necessary for meeting the workgroup's performance objectives.
4. Workgroups define methods for coordinating the flow of information required by the workgroup's operating processes and role responsibilities.
5. Workgroups determine the frequency with which meetings are needed to share information, maintain coordination, and track status.
6. Workgroup members ensure they have a common understanding of the terms and representations they use in communicating.
7. Workgroup members coordinate with each other to ensure that gaps or other problems in their workgroup's operating processes are handled.
8. Workgroups periodically review performance to identify and correct problems such as:
  - ☐ breakdowns in communication and coordination of dependencies,
  - ☐ breakdowns, gaps, or inefficiencies in defined processes,
  - ☐ overloaded role responsibilities, or
  - ☐ workload imbalances across individuals.

**Practice 11****Skills needed to perform jointly as a workgroup using the workgroup's operating processes are developed.**

This practice focuses on development needs specific to the workgroup in such areas as the workgroup's operating processes, the organization's common workgroup methods and procedures, workgroup dynamics, workflow, coordination, and competency-based processes defined or tailored at the workgroup level.

Refer to the Competency Development process area for information focused on individual development in the organization's workforce competencies and to Practice 7 of the Communication and Coordination process area for information regarding individuals' development of interpersonal communication skills.

Examples of the responsible individual(s) who interacts with the workgroup to manage the workgroup's development needs include the following:

- The individual to whom the workgroup reports
- An individual from the training function
- An expert in workgroup or team development
- An individual from the human resources function or other appropriate professionals

1. As the workgroup is initiated, a responsible individual identifies any needs for training and development, based on:
  - ☐ individual workgroup members' capability to perform the workgroup's operating processes, or
  - ☐ the specific tailoring of competency-based or common workgroup methods and procedures for use within the workgroup as the workgroup's operating processes, and
  - ☐ the roles that individuals have been assigned to fulfill.

2. A responsible individual analyzes the workgroup's performance to determine its development needs.

Factors to evaluate in analyzing workgroup performance may include the following:

- Workgroup performance against objective performance criteria
- How the work is organized and carried out by the workgroup
- Peer reviews by people external to the workgroup
- Workgroup self-evaluation
- Appropriate quality and productivity metrics
- Skill development needs for existing workgroup members (both individual competency development needs and needs for development of workgroup knowledge, skills, and process abilities)
- Performance improvement against baselines
- The contribution of the workgroup to the performance of the unit and the organization

3. Working with a responsible individual, the workgroup documents a plan for its development activities that includes:

- ☐ development objectives for the workgroup,
- ☐ specific development actions to achieve these objectives,
- ☐ the schedule for performing the unit's Workgroup Development activities, and
- ☐ development activities that support the organization's strategic workforce plan.

4. The workgroup performs its development activities.

5. A responsible individual(s):

- ☐ reviews the accomplishment of the workgroup's development activities and the impact of these development activities on workgroup behavior and performance,
- ☐ documents completed development activities, and
- ☐ recommends corrective action when development activities do not achieve their intended objectives.

**Practice 12****Workgroups that share dependencies define interfaces through which their activities and commitments are coordinated.**

1. Workgroups identify the dependencies they share with other workgroups or organizational entities.
2. Dependent workgroups or their representatives interact to:
  - ☐ plan activities that satisfy their dependencies,
  - ☐ review and agree to their mutual commitments,
  - ☐ raise and resolve issues in their work,
  - ☐ coordinate their activities as necessary,
  - ☐ jointly monitor progress toward satisfying dependencies,
  - ☐ take corrective action as necessary when dependencies are in jeopardy, and
  - ☐ improve conditions and processes that affect their mutual work.
3. Problems or issues that cannot be resolved among dependent workgroups are handled according to a documented procedure.

Unresolved issues can be raised to management, submitted to an arbitration group, or addressed by a documented method that is appropriate to the type of issue and is approved by management.

Examples of intergroup issues include the following:

- Incompatible schedules
- Poorly synchronized processes
- Different rates of progress
- Technical issues
- Risks
- Quality problems
- Unplanned dependencies

**Practice 13****A responsible individual(s) tracks and manages workgroup performance.**

Managing workgroup performance is separate from managing the performance of individual workgroup members. In practice, many of the activities for managing the performance of individuals and of workgroups may occur in close temporal proximity and may be performed by the same individual. However, workgroups need performance feedback on their performance as workgroups, on their coordination, and on their collective actions; rather than on their individual performance. This practice supplements, but does not replace, the Performance Management practices and Competency-Based Practices performed for individuals.

1. The workgroup establishes performance objectives with the manager or supervisor to whom it reports.

Refer to Practice 9 for information regarding how these workgroup performance objectives may be established and documented through the workgroup planning process.

2. Responsible individuals ensure that:
  - ☐ each individual's performance objectives are aligned with the performance objectives of the workgroup,
  - ☐ personal development plans do not conflict with the performance objectives of the workgroup, and
  - ☐ the workgroup's performance objectives are aligned with those of other workgroups or organizational entities with which it shares dependencies.
3. The individual to whom the workgroup reports maintains an awareness of its performance.

Examples of means to maintain awareness of workgroup performance may include the following:

- Tracking performance against plan
- Reviewing performance data
- Reviewing measures of process performance
- Maintaining awareness of technical issues and decisions
- Reviewing risks to performance
- Attending status review meetings
- Reviewing individual or workgroup progress reports
- Contacting customers of the workgroup's products or services
- Contacting other workgroups with which it shares dependencies

4. The individual to whom the workgroup reports maintains ongoing communication with the workgroup about its performance.

Ongoing communication about workgroup performance involves more than just formal progress review meetings, but should also consist of informal discussions of workgroup performance with some or all members. When conducted with individual members of the workgroup, a mix of individual and workgroup performance can be discussed. Other examples of mechanisms for maintaining ongoing communication with individuals within the workgroup and with the workgroup include the following:

- Management by walking around (MBWA)
- Workgroup staff meetings
- Frequent informal meetings
- Ongoing interactions with individuals and groups

5. A responsible individual(s) facilitates the workgroup in evaluating the individual and collective performance of its members.

This responsible individual may be the individual to whom the workgroup reports or may be someone outside the group with expertise in workgroup development.

6. When workgroups share work dependencies, their mutual performance is tracked and managed by an individual(s) with responsibility for their collective performance.

An example of a mechanism to track performance when workgroups share work dependencies is to hold status reviews of coordinated intergroup performance. When held, these status reviews of coordinated intergroup performance typically:

- Involve all affected groups or stakeholders
- Review technical, cost, staffing, and schedule performance against workgroup plans
- Identify corrective actions, if necessary
- Review coordination of dependencies between groups
- Address conflicts and issues not resolvable at lower levels
- Review and manage risks
- Ensure that action items are assigned, reviewed, and tracked to closure
- Are terminated by a summary report from each meeting which is prepared and distributed to all affected groups

7. Responsible individuals ensure that workgroups have the information they need to perform their committed work.
8. The individual to whom the workgroup reports periodically provides formal feedback to the workgroup about its performance according to a documented procedure.

The workgroup and the individual to whom they report develop an agreement as to the method and schedule by which formal feedback is provided. Examples of vehicles through which formal feedback can be provided to workgroups include the following:

- Formal progress reviews
- 360° review by stakeholders in the workgroup performance
- Workgroup performance reviews scheduled separately from progress reviews

9. The individual to whom the workgroup reports works with the workgroup to discuss and resolve problems.

Examples of problems to be resolved include the following:

- Resource allocation issues
- Internal workgroup conflicts
- Breakdowns in coordination with other workgroups or units
- Overloaded assignments
- Conflicting priorities

10. When problems occur in workgroup performance, a responsible individual works with the workgroup to:
- ☐ accurately describe the performance problem,
  - ☐ identify the causes of the performance problem,
  - ☐ decide on corrective action,
  - ☐ manage individual performance problems that contribute to problems in workgroup performance,
  - ☐ track the workgroup's implementation of corrective action,
  - ☐ provide continuing feedback on progress in correcting the performance problem, and
  - ☐ take further actions if workgroup performance does not improve.
11. Outstanding workgroup performance is recognized or rewarded.
12. Adjustments to each individual's compensation are based, in part, on their contribution to workgroup performance.

**Practice 14****Workgroups are disbanded through an orderly performance of workforce activities.**

1. Workgroups are made aware of the conditions under which their business activities are deemed to be complete.
2. A responsible individual discusses future assignments with each member of a disbanding workgroup.



3. When possible, future assignments are determined before a workgroup is disbanded.
4. Decisions about future assignments incorporate inputs concerning:
  - ☐ personal development plans,
  - ☐ competency development needs and activities,
  - ☐ career development issues,
  - ☐ competency needs of other workgroups or organizational entities,
  - ☐ transfer of knowledge, skills, or process abilities to other individuals or workgroups in the organization, and
  - ☐ the strategic workforce plan.
5. Transition among assignments is planned to minimize disruption to individual's competency and career development activities.

Refer to Practice 14 of the Staffing process area for information regarding transitioning between positions.

6. A responsible individual reviews workgroup performance with the members of the workgroup.
7. Performance management activities are completed before members separate from a disbanding workgroup.

The disbanding of a workgroup may not correspond with scheduled formal performance management activities. To ensure that contemporaneous information about each individual's performance is retained, examples of individual performance management activities to be completed before the workgroup disbands include the following:

- Recording the results of individual performance against objectives
- Evaluating individual contribution to workgroup performance
- Documenting accomplishments in personal development plans
- Assessing performance against an individual's improvement plan
- Providing rewards or recognition for outstanding performance

8. Orientation activities are planned and conducted to prepare members of disbanding workgroups for their new assignments.

**Practice 15**

**When workgroups disband, their assets are captured for redeployment.**

1. Prior to the completion of the workgroup's business activities, a responsible individual(s) works with the workgroup to:
  - ☐ plan the process for disbanding the workgroup,
  - ☐ capture and archive lessons learned about products, processes, or workforce practices,
  - ☐ prepare and archive appropriate work products.
2. The residual assets of the workgroup's activities are disposed of appropriately through such means as being:
  - ☐ delivered to internal or external customers,
  - ☐ deployed to other workgroups,
  - ☐ returned to original owners,
  - ☐ archived for future use or reference, or
  - ☐ securely destroyed.

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## **Measurement and Analysis**

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**Measurement 1**

**Measurements are made and used to determine the status and performance of Workgroup Development activities across the organization.**

Examples of measurements include the following:

- Number of workgroups and people involved in workgroups
- Average number of workgroups that individuals contribute to
- Profiles of competency mixtures across workgroups
- Time spent in training for workgroup-related skills
- Time spent developing workgroup plans and tailored processes
- Timeliness of performing workforce activities in workgroups
- Effectiveness of workgroups in meeting their milestones and other performance objectives
- Effectiveness with which dependent workgroups satisfy their dependencies
- Effectiveness in achieving the objectives of the strategic workforce plan
- Common issues and trends determined by analyzing lessons learned from disbanding workgroups

**Measurement 2**      **Measures of workgroup development are collected and aggregated at the organizational level.**

1. A historical database of workgroup development and performance data is maintained.
2. Workgroup development data are periodically analyzed to determine trends.

**Measurement 3**      **Measurements are made and used to determine the effectiveness of Workgroup Development activities.**

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## Verifying Implementation

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### Verification 1

**A responsible individual(s) verifies that Workgroup Development activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Workgroup development activities comply with the organization's policies and stated values.
2. Workgroup development activities comply with relevant laws and regulations.
3. Workgroup development activities are performed according to the organization's documented practices and procedures.
4. Noncompliance issues are handled appropriately.
5. Workgroup development activities are kept current and reflect existing and anticipated organizational conditions and needs.

### Verification 2

**Executive management periodically reviews the Workgroup Development activities, status, and results; and resolves issues.**

These reviews verify:

1. The appropriateness of Workgroup Development activities.
2. Progress in performing Workgroup Development activities.
3. Results from reviews of Workgroup Development practices and activities.

Refer to Verification 1 for practices regarding reviews of Workgroup Development activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.

5. Trends in workgroup development compared to objectives in the strategic workforce plan.
6. Effectiveness of Workgroup Development activities in achieving the objectives in the strategic workforce plan.

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# Participatory Culture

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*A process area at Maturity Level 3: Defined*

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<b>Purpose</b>	<b>The purpose of a Participatory Culture allows the organization to exploit the full capability of the workforce for making decisions that affect the performance of business activities.</b>
<b>Description</b>	<p>The open communication established with Communication and Coordination practices at the Managed Level creates a foundation for developing a participatory culture. A participatory culture provides an environment in which competent professionals are fully able to exercise their capabilities. This participative environment ensures a flow of information within the organization, incorporates the knowledge of individuals into decision-making processes, and gains their support for commitments. Establishing a participatory culture lays the foundation for building high-performance workgroups and for empowering workgroups at the Predictable Level.</p> <p>Establishing a participatory culture begins with providing individuals and workgroups with information about organizational and unit performance, and how their performance contributes. Individuals and workgroups are provided access to the information needed to perform their committed work. Information and communication systems support these information needs.</p> <p>The structure of decision-making processes is analyzed across the organization and appropriate roles are defined. Based on this analysis, decisions are delegated to an appropriate location in the organization that balances competence, coordination, and speed. Once made by appropriate individuals, decisions are supported by others in the organization. Individuals participate in decisions that affect their work and work environment. Individuals and workgroups use defined processes for making decisions and resolving conflicts and disputes.</p>

## **Goals**

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- Goal 1**                      **Information about business activities and results is communicated throughout the organization.**
- Goal 2**                      **Decisions are delegated to an appropriate level of the organization.**
- Goal 3**                      **Individuals and workgroups participate in structured decision-making processes.**
- Goal 4**                      **Participatory Culture practices are institutionalized to ensure they are performed as defined organizational processes.**

## **Commitment to Perform**

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- Commitment 1**                      **The organization's stated values encourage open communication and participation in decision making by individuals and workgroups, when appropriate.**

Refer to Commitment 1 of the Communication and Coordination process area for information regarding the establishment and communication of organizational values, and the types of the workforce issues that might be covered in the organization's stated values.

- Commitment 2**                      **The organization establishes and maintains a documented policy for its activities that supports the development of a participatory culture.**

Issues typically addressed in the policy include:

1. Activities that support development of a participatory culture serve the business objectives and stated values of the organization.
2. Individuals and workgroups participate in decision-making processes affecting their work.
3. Information about organizational and business performance is shared across the organization.
4. There is an environment of open communication across levels and among individuals and workgroups within the organization.
5. Open communication appropriately considers the cultural values and diversity present in the workforce.
6. Individuals and workgroups are actively encouraged and supported to assume appropriate responsibility and authority by participating in decision-making processes.
7. Activities that support development of a participatory culture comply with relevant laws, regulations, and organizational policies.

**Commitment 3**

**An organizational role(s) is assigned responsibility for coordinating the organization's activities for developing a participatory culture.**

Examples of individuals who might be assigned responsibilities for activities that support development of a participatory culture include the following:

- Executive management
- Staff assistants
- Committees
- Human resources or other appropriate professionals
- Organizational development specialists



## **Ability to Perform**

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### **Ability 1**

**Within each unit, an individual(s) is assigned responsibility and authority to ensure that the performance of business and workforce activities within the unit contributes to developing a participatory culture.**

### **Ability 2**

**Adequate resources are provided for performing activities that support development of a participatory culture.**

1. Strategic and operational business objectives are defined and made available.
2. Performance results are collected at the organizational and unit levels.
3. Experienced individuals who have expertise in areas such as decision analysis and communication are made available.
4. Resources that contribute to a participatory culture are made available.

Examples of resources supporting participatory activities include the following:

- Information
- Information systems
- Internal publications
- Decision aids

5. Adequate support is made available for participatory activities.

Examples of participatory activities include the following:

- Decision-making processes
- Communication processes
- Conflict resolution processes

6. Adequate funding is made available for resources that contribute to a participatory culture.

**Ability 3**

**Managers develop the knowledge, skills, and process abilities needed to perform their responsibilities regarding communication and participatory management.**

Examples of relevant topics in which managers may be trained include the following:

- Commitment processes
- Consensus-building skills
- Participatory management techniques
- Decision-making techniques
- Group problem-solving techniques
- Listening skills
- Information analysis and communication techniques
- Work coordination techniques

**Ability 4**

**Individuals and groups who participate in Participatory Culture activities receive the preparation in problem-solving and decision-making processes, methods, and skills appropriate to the types of decisions they will participate in making.**

**Ability 5**

**The practices and procedures for developing a participatory culture are defined and documented.**

1. Practices and procedures may be defined and documented at the organizational and/or unit levels, as appropriate.

2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available as necessary.

3. The individual(s) assigned responsibility for coordinating activities to develop a participatory culture across the organization ensures that defined practices and procedures are:
  - ☐ maintained under version control,
  - ☐ disseminated through appropriate media,
  - ☐ interpreted appropriately for different situations, and
  - ☐ updated through orderly methods.
4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing the practices for developing a participatory culture are captured to support the future use and improvement of the organization's practices.

## **Practices Performed**

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### **Practice 1**

**Information about organizational and unit performance is made available to individuals and workgroups.**

1. Management at each level of the organization identifies information about organizational and unit performance that would assist individuals, workgroups, or units in aligning their decisions and business activities with that level's business objectives or commitments.

Examples of information on organizational performance that could be made available to individuals, workgroups, or units include the following:

- Business objectives and strategy
- Performance objectives of other units and the organization
- Financial results and projections
- Information about costs and expenses
- Production data and results
- Quality objectives and results
- Workforce attitude results
- Customer satisfaction and related information
- Marketing, sales, and related information

2. Designated information about organizational and unit performance is:
  - ☐ summarized at an appropriate level of detail for use by individuals, workgroups, or units,
  - ☐ communicated to individuals, workgroups, or units using methods that make the information readily accessible and useful for decision making or other business activities, and
  - ☐ revised with a frequency appropriate to the rate of change for each type of information.
3. The workforce is made aware of the extent to which different forms of performance information must be treated as confidential.

## Practice 2

### **Individuals and workgroups are made aware of how their work performance contributes to unit and organizational performance.**

1. Individual performance feedback is presented in the context of workgroup, unit, and organizational performance.
2. Workgroup performance feedback is presented in the context of unit and organizational performance.
3. Links among individual, workgroup, unit, and organizational performance are explained.
4. Links between organizational performance and the achievement of organizational business objectives are communicated and reinforced.

**Practice 3****Individuals and workgroups have access to information needed to perform their committed work.**

## 1. Individuals and workgroups identify information:

- ☐ they need for performing their work, and
- ☐ others need from them.

Examples of sources for identifying needed information include the following:

- Assigned tasks and responsibilities
- Standard processes
- Workgroup coordination
- Assigned or assumed roles
- Dependencies within a workflow

2. Individuals and workgroups identify the most effective mechanisms for transferring needed information.
3. Individuals and workgroups coordinate with information sources to ensure timely access to required information.
4. Managers and supervisors ensure that the information requirements of those they supervise are satisfied.
5. Competency-based experience and information captured within a competency community is made available to other individuals or workgroups that have a need for this information.

**Practice 4****Information and communication systems support the information needs of individuals and workgroups.**

These information and communication technologies extend beyond the basic functions of the management information systems used for managing the business. The purpose of these information technologies is to make management information accessible to every individual or workgroup who can use it for making faster and more accurate decisions. The purpose of the communication technologies described in this practice is to broaden and accelerate the flow of information needed to enhance work performance and the speed and accuracy of decisions.

1. Within boundaries defined by organizational, budgetary, and relevant technical considerations, information and communication technologies are provided to individuals and workgroups to support their information and communication needs.
2. Individuals and workgroups participate in the selection and design of information and communication technologies to ensure their needs are met.
3. Information and communication technologies are:
  - ☐ implemented to meet the needs of individuals and workgroups,
  - ☐ maintained, and
  - ☐ enhanced over time, as appropriate.
4. Individuals and workgroups participate in decisions about improvements and upgrades to the information and communication technologies that they use.

**Practice 5                      The structure of decision-making processes within the organization is analyzed.**

Decision processes may be analyzed in numerous ways. The decision analysis described in this practice may occur through several mechanisms that are not necessarily concurrent. In addition, decision processes in different components or at different levels of the organization may be analyzed separately. Examples of how decision analysis processes may be applied in an organization include the following:

- Through formal analysis of existing decision making processes
- As part of designing workflows and management controls
- As part of defining workgroup processes
- As part of defining competency-based processes
- In policies or procedures
- In defining roles and responsibilities
- In establishing units or workgroups
- In designing the organization or its components

1. Decisions to be analyzed are identified.

Decisions to be analyzed are characterized by attributes such as the following:

- Are recurrent
- Affect work commitments or assignments
- Affect career opportunities
- Impact how work is done
- Create or affect dependencies with other individuals or workgroups
- Affect the work environment
- Affect significant stakeholders who are not involved in the decision process



2. Identified decisions are analyzed to determine which roles or workgroups:
  - ☐ have the most relevant information for making the decision,
  - ☐ can make the most timely and accurate decision,
  - ☐ are in the best position to involve all relevant stakeholders,
  - ☐ share dependencies affected by the decision,
  - ☐ need to be involved in providing input to or reviewing the decision, and
  - ☐ need to be informed of the results of the decision.
3. Individuals, workgroups, or units at each level of the organization are involved in analyzing decisions made at their level.

Examples of different types of decisions include the following:

- Independent decisions, which are decisions where the individual or group making the decision has full authority to make it without seeking advice or consent from anyone else
- Coordinated decisions, which are decisions where the individual or workgroup making the decision has the authority to make the decision, but only with input or approval from other parties
- Consensus decisions, which are decisions where the decision reached must be one that can be supported by a defined set of individuals or groups before it is announced

**Practice 6****Decision-making processes and roles are defined.**

1. The organization develops or adopts standard decision-making methods for use with different types of decisions.

A decision-making method is a specific procedure for making a decision that can be embedded in the work processes of an individual, workgroup, or unit. Examples of decision-making methods include the following:

- Consensus development
- Structured problem solving
- Hoshin planning or policy deployment
- Nominal group technique
- Force field analysis
- Voting or multi-voting techniques
- Brainstorming
- Delphi

2. Decision-making methods are embedded in defined processes that are appropriate for the situation or business activities being performed.

Sources of defined processes in which decision-making methods can be embedded include the following:

- Competency-based processes
- Workgroup operating processes
- Business or workflow-based processes
- Customer-specified processes

3. Decision-making processes are defined within the context of the business activities and processes they affect.

Decision-making processes are defined and represented in a format that is consistent with the definitions of processes within which they are embedded. Thus, decision-making becomes a component of a standard competence-based or workgroup operating process.

Elements of decision-making processes that may be defined include the following:

- Conditions under which the need for the decision is triggered
- Inputs needed for the decision and roles that provide them
- Roles to be involved in the decision-making process
- Methods for identifying root causes
- Methods for identifying or clarifying the decision needed
- Methods for generating alternative solutions
- Methods for selecting appropriate solutions
- Methods for planning to implement decisions
- Requirements for coordination of the decision with other roles or processes that share dependencies
- Review and approval procedures, if required
- Communication requirements
- Outputs of the decision-making process
- Methods for evaluating decision outcomes
- Methods for reconsidering previous decisions
- How the decision-making process is integrated into competency-based, workgroup, or other business processes
- Guidelines for tailoring the decision-making process or method
- Methods for evaluating decisions to improve the accuracy or quality of future decisions

**Practice 7****Responsibilities for decisions are delegated to appropriate levels and locations in the organization.**

1. The most appropriate roles or workgroups for participating in and making various decisions are identified.

Examples of criteria for identifying roles or workgroups to delegate decisions to at appropriate levels include the following:

- Speed and timeliness
- Availability and accuracy of information
- Responsibility for results
- Breadth of decision impact
- Competency
- Decision dependencies
- Coordination of work processes
- Legal responsibilities

2. Authority and responsibility for decision-making are delegated to lower levels of the organization when feasible and appropriate by the nature of the decision.
3. Executives initiate participatory decision processes by analyzing and delegating appropriate decisions at their level.

**Practice 8****Individuals and workgroups use defined decision-making processes.**

1. Standard decision-making methods, roles, and processes are tailored for their most effective use based on the characteristics of the situation in which they are used.

Decision-making methods, roles, and processes may need to be tailored to ensure they are appropriate for use in a specific project or situation. As part of planning their work activities, individuals, workgroups, or units should perform any tailoring of decision-making processes required to involve all parties and to ensure that all parties have accurate expectations about how decisions will be reached.

Examples of issues to be considered in tailoring decision-making processes include the following:

- Who is accountable for the results of the decision
- Who has information relevant to the decision
- Who must support the decision
- Whose work activities are affected by the decision
- Whose activities the decision must be coordinated with
- Who must approve the actions resulting from the decision
- How quickly the decision must be implemented
- Whether anyone will be disenfranchised by the decision

2. Roles in the decision-making process are assigned to appropriate individuals or workgroups in planning their work processes.
3. Those with management or supervisory responsibility for individuals or workgroups involved in decision-making processes ensure that they are prepared for their responsibilities.

Examples of knowledge and skills that are prerequisites to exercising decision-making responsibility include the following:

- Knowing information needed to make the decision
- Being able to execute an appropriate decision-making process
- Understanding the basis of the authority they exercise in making the decision
- Understanding the limits of their empowerment for making decisions
- Understanding how to implement the decision

4. Individuals or groups perform their roles as defined or tailored when participating in making decisions.
5. Data and other inputs relevant to a decision are provided to those involved in the decision process.
6. Decisions are communicated and coordinated as necessary.
7. When decisions are reconsidered, appropriate decision-making processes are used.

8. Decisions are evaluated to identify factors that could improve the speed or accuracy of the decisions, when appropriate in an individual, competency-based, workgroup, or a unit work process.

Examples of factors that could improve decision-making include the following:

- Use of different decision-making methods
- More effective tailoring of decision-making processes
- Involving fewer or more individuals or workgroups
- More accurate or timely inputs
- More effective coordination of concurrent decision-making processes
- More effective or timely review or approval of decisions when required
- More effective or timely implementation of decisions

**Practice 9**

**Decisions made by those empowered to make them are supported by others in the organization.**

Decision-making processes must be defined and understood so that expectations about authority and responsibility are not violated.

1. Individuals responsible for individuals, workgroups, or units empowered to make or participate in decisions:
  - ☐ maintain awareness of decision-making processes to ensure that conditions affecting decision-making such as accuracy of inputs, level of competence or experience, and time allotted are appropriate to support accurate and timely decisions,
  - ☐ take corrective action when conditions affecting decision-making need to be improved, and
  - ☐ ensure that necessary coordination of decisions with relevant stakeholders occurs.
2. Issues or decisions that cannot be resolved according to defined decision-making processes are raised to decision-makers at higher levels for resolution.

3. When business or other conditions suggest that decisions be altered, changed, or reversed, management communicates with and involves those empowered to make the decision(s) affected.

**Practice 10****Individuals and workgroups are involved in making decisions that affect their work.**

1. When appropriate, input is sought from the workforce on important decisions affecting the whole organization.
2. Individuals or workgroups participate in developing and reviewing organizational policies, plans, and procedures that affect them.
3. Individuals or workgroups participate in making decisions about how to organize and perform their work through involvement, where appropriate, in:
  - ☐ identifying problems or issues,
  - ☐ generating alternatives,
  - ☐ selecting a solution,
  - ☐ planning the implementation of the selected solution, and
  - ☐ evaluating the results.
4. The rationale behind a decision is communicated to those affected by the decision.

**Practice 11****Individuals and groups participate in decisions concerning their work environments.**

1. Individuals and groups provide input for:
  - ☐ the arrangement of work facilities,
  - ☐ alterations or improvements to their work environment, and
  - ☐ resources needed to perform their work.
2. To the extent reasonable, individuals and groups participate in decisions about work resources and their work environment.
3. To the extent reasonable, individuals and workgroups arrange their work environment to best support their work processes.

**Practice 12****Defined mechanisms are used for resolving conflicts and disputes.**

1. The organization defines decision-making processes through which different types of conflicts or disputes can be resolved.

Examples of different types of conflicts or disputes that should have defined processes for deciding resolution may include the following:

- Resource contention among units or workgroups
- Scheduling difficulties
- Conflicts among commitments
- Budget or other financial issues
- Interpersonal problems
- Personnel matters
- Coordination problems
- Legal or ethical issues
- Issues involving business strategy or tactics

2. Appropriate problem-solving opportunities are made available for individuals or workgroups to resolve problems, issues, conflicts, or disputes that affect their work.
3. Conflicts and disputes are addressed through appropriate conflict and dispute resolution processes.

Conflict and dispute resolution processes typically address the following:

- Initiation
- Participants and roles
- Presentation of arguments and information
- Decision-making procedures
- Methods for review and appeal, if appropriate
- Safeguards to ensure fairness, confidentiality, respect for individuals, and alignment with the organization's objectives



4. Appropriate stakeholders are involved in conflict and dispute resolution processes.
5. Results of conflict and dispute resolution processes are communicated and implemented.

## **Measurement and Analysis**

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### **Measurement 1**

**Measurements are made and used to determine the status and performance of participatory activities and trends within the organization.**

Examples of measurements include the following:

- Measures of the use and coverage of information and communication technologies
- Rate at which decisions are delegated within the organization
- Rate at which decision-making processes are defined and trained
- Number of people involved in decision-making processes
- Effectiveness of communication mechanisms
- Amount of business information communicated to the workforce
- Number of conflict or dispute resolutions
- Results from opinion feedback mechanisms

**Measurement 2**      **Measurements are made and used to determine the effectiveness of the participatory practices adopted in the organization.**

Examples of measurements of the effectiveness of participatory practices include the following:

- Results of decisions
- Improvements in motivation and morale
- Number of people actively seeking involvement in decision making
- The quality of the information available for decisions
- The speed of making decisions
- Improvements in timeliness or accuracy of decisions over time
- The speed of implementing decisions
- Number and extent of coordination problems
- Timeliness and success of conflict or dispute resolutions

## **Verifying Implementation**

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**Verification 1**      **A responsible individual(s) verifies that communication and decision-making activities within the organization are conducted in an open and participative manner according to the organization's values and policies; and addresses noncompliance.**

These reviews verify that:

1. Communication and decision-making activities comply with the organization's policies and stated values.
2. Communication and decision-making activities comply with relevant laws and regulations.

3. Individuals and groups are involved in communication and decision-making processes, where appropriate.
4. Noncompliance issues are handled appropriately.

**Verification 2****Executive management periodically reviews the level of participatory behavior and resolves issues.**

These reviews verify:

1. The level of open communication, delegation of decision-making, and participatory behavior in the organization.
2. The appropriate use of business objectives and performance information.
3. The involvement of all appropriate stakeholders in decision and commitment processes.
4. Progress in performing Participatory Culture activities.
5. Results from reviews of Participatory Culture practices and activities performed to develop a participatory culture.

Refer to Verification 1 for information regarding reviews of Participatory Culture activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

6. Status of resolution of noncompliance issues.
7. Trends related to the development of a participatory culture.
8. Effectiveness of Participatory Culture activities in achieving the development of a participatory culture.

